



REPORT OF THE COMMITTEE OF OFFICERS

**on the
REORGANIZATION OF
THE STRUCTURE AND
WORK PROCEDURES OF
THE MINISTRY OF
WORKS & HOUSING**

Part I—Works Division

**GOVERNMENT OF INDIA
MINISTRY OF WORKS & HOUSING**

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CHAPTER I

INTRODUCTION

The Ministry of Works & Housing appointed a Committee of Officers on January 15, 1965, to examine the methods of handling work in the Ministry and also to go into questions of structure and organisation. The Committee's terms of reference were as follows:—

“To undertake a study of the method of handling work in the Ministry with the object particularly of reorganising the procedure of work as also the structure of organisation of the Works and Establishment Works wing of the Ministry.”

1.2. The following constituted the Committee:—

Chairman

- (1) Shri C. P. Gupta, Joint Secretary, Ministry of Works & Housing.

Members

- (2) Shri N. K. Mukarji, Joint Secretary, Department of Administrative Reforms.
- (3) Shri T. N. Bahel, Chief Controller, Printing & Stationery.
- (4) Shri G. P. Shahani, Deputy Secretary, Department of Administrative Reforms.
- (5) Shri K. C. Joshi, then Director of Administration, Central Public Works Department.
- (6) Shri S. Chaudhuri, Deputy Secretary, Ministry of Works & Housing.
- (7) Shri P. K. Sen, Deputy Secretary, Ministry of Works & Housing.
- (8) Shri K. N. Zutshi, Deputy Secretary, Ministry of Works & Housing.

1.3. Soon after the Committee was constituted, Shri K. C. Joshi was transferred as Director of Estates under the same Ministry and was replaced in his previous post by Shri R. M. Agrawal. While, therefore, Shri Joshi continued as a member, Shri Agrawal was also associated with the Committee, particularly because the work of the CPWD figured prominently in the first stage deliberations of the Committee.

1.4. At the very outset the Chairman explained that, although there was a specific mention of the Works and Establishment Works wing of the Ministry only in the terms of reference, the Committee was expected to go into the working of the entire Ministry and make recommendations for improving both procedures and organisation. The purpose behind setting up the Committee was to evolve an organisational pattern and to devise a procedure for work which would not only eliminate delays but also improve the quality of work. The reorganisation process initiated by the Committee's work might result in economy of expenditure, but that would be an incidental gain and should not be regarded as the primary purpose.

1.5. With this expanded interpretation of the terms of reference, we proceeded to chalk out a programme of work for ourselves. We took note of the fact that some analytical studies of the work handled in the Works Division had already been made by the Department of Administrative Reforms. (For the purpose of this report we have used the expression "Works Division" to describe the Works and Establishment Works wing of the Ministry). This gave us a convenient starting point, and we took two decisions straightaway:—

- (i) The material made available in the studies already undertaken should be processed, and other necessary material also collected, with a view to composite recommendations being devised for improving procedures and organisation in the Works Division.
- (ii) Similar studies should be organised in the other divisions of the Ministry, so that after attending to the Works Division the Committee might have handy material for similar attention being given to other divisions.

1.6. As a corollary to the above decisions, we came to the view that it was not necessary to wait for compiling our report until the entire Ministry had been studied. We felt that there

would be considerable advantage in submitting our report in instalments. For one thing, this would enable us to complete our recommendations on one division of the Ministry before proceeding to the next, which would be a convenient method of working. But more important than this, a report submitted in instalments would enable the implementation process to commence earlier than otherwise. In this way, such benefits as may be expected to flow out of our recommendations would become available at an earlier stage, and there would also be the possibility of our learning from implementation in one division of the Ministry before devising similar recommendations in other parts of the Ministry.

1.7. The present is, therefore, the first instalment of our report and it deals mainly with the reorganisation of the Works Division. The first three chapters are descriptive of the background of this study, of the work and organisation of the Ministry and of our overall approach to the problem entrusted to us. The fourth chapter contains our specific recommendations about how the handling of work in the Works Division should be reorganised. In the next instalment of our report we hope to deal with the Estates Division, and in this division-wise manner we expect to cover the entire Ministry. If we have to make recommendations about the Ministry as a whole, those will come at the end.

1.8. We have so far held 14 meetings. Since this first instalment deals with work relating to the CPWD, we have associated the chief engineer with our deliberations wherever necessary. We intend to adopt the same practice when we cover other divisions of the Ministry in the subsequent instalments of our report.

1.9. For the collection of data and for preparing working papers we have relied heavily on the analyst staff of the Department of Administrative Reforms.

CHAPTER II

FUNCTIONS AND ORGANISATION OF THE MINISTRY OF WORKS AND HOUSING

The main functions falling within the charge of the Ministry of Works & Housing are as follows:—

- (i) Construction, maintenance and repair of all buildings financed from the Civil Works Budget of the Ministry and executed through the Central Public Works Department.
- (ii) Management of the estates of the Central Government, other than the properties of the Defence Services, the Railways, the Posts and Telegraphs Department, the Income Tax Department and the Department of Atomic Energy, as also buildings constructed otherwise than from the Civil Works Budget and buildings permanently made over to any other Ministry. Also administration and management of residential accommodation, including allotment, collection of rents, etc., done through the Director of Estates.
- (iii) Administration of leases of *nazul* lands in the Capital and in the territory of Delhi, as also administration of leases of properties in rehabilitation colonies in Delhi and New Delhi, done through the Land and Development Officer.
- (iv) Administration of the Indian Explosives Act, 1884, the Petroleum Act, 1934, and the Inflammable Substances Act, 1952, and the various Rules framed thereunder, through the Department of Explosives, Nagpur, which also functions as an Advisory Body to the Central and State Governments, and the Railways, the Port authorities, the Civil Aviation in all matters relating to handling, storage, transport, import and manufacture of explosives, petroleum and other dangerous commodities. Somewhat allied with this activity is that of the Central

Boilers Board, set up under the Indian Boilers Act, 1923, for the purpose of maintaining continuous review of the safety regulations; this is also under the administrative control of the Ministry.

- (v) Supply of printing and stationery to the Ministries and Departments of the Central Government, including the Railways (Stationery only), Ministry of Defence and the Department of Posts & Telegraphs, through the Printing & Stationery Department, New Delhi.
- (vi) Formulation of housing policy and programmes and initiating social housing schemes under plan programmes, providing funds to finance such schemes, their implementation being done in the States by the State Governments and their agencies, and in the Union Territories by the local administration and by the local bodies. There is no field office of the Ministry for this activity.
- (vii) Ensuring a comprehensive approach to the problem of housing, promoting and co-ordinating research in building materials, techniques and designs with a view to achieve reduction in building costs and disseminating useful information on building activities through the National Buildings Organisation, New Delhi.
- (viii) Administering four public sector undertakings through more or less autonomous boards of management, namely:—
 - (a) Ashoka Hotels Ltd.
 - (b) Janpath Hotels Ltd.
 - (c) Hindustan Housing Factory Ltd.
 - (d) The National Buildings Construction Corporation Ltd.

2.2. The functions of the Ministry are thus fairly diverse. There is an obvious connection between work relating to public works, Government estates, *nazul* lands, housing and two of the public sector undertakings, viz. the Hindustan Housing Factory Ltd. and the National Buildings Construction Corporation Ltd.

There is a less obvious but still a tangible connection between the work relating to housing and the Directorate of Estates and the two hotels, Ashoka and Janpath, which essentially cater for the same types of needs as the various hostels also managed by this Ministry. Printing & Stationery provides a common service to all Ministries and in that respect is functionally on par with works-charge. Miscellaneous items like explosives and boilers, however, appear to have no clear connection with the rest of the work handled in the Ministry. These subjects appear to be a part of the Ministry's responsibility as a result of historical developments and also perhaps because it is not possible to think of allocating these subjects with unquestioned validity to any other Ministry.

2.3. One method of analysing the work of the Government of India is to divide it into two broad categories, the first covering items of work arising out of the original jurisdiction of the Government of India and the second covering items arising out of what might be described as the "non-original" jurisdiction of the Centre. In the latter category fall items of work in which the primary responsibility under the Constitution rests with the State Governments, but the Centre performs functions of co-ordination and overall planning. There are some Ministries which are concerned entirely with the first category and others which deal mainly with the second category. The Ministry of Works & Housing deals with a mixture of both categories, although most of its work falls in the first category. Regarding public works, Government estates, *nazul* lands and printing and stationery, for instance, the Ministry operates in the original jurisdiction of the Government of India. However, the primary responsibility for housing is that of the State Governments and the Ministry carries out functions of a "non-original" jurisdiction variety. The two categories require different treatment because both work content and responsibilities are different in the two cases. The existence of both categories of work in the Ministry of Works & Housing gives us an opportunity to examine both types of situations and we venture to express the hope that our studies and the recommendations they lead us to may be of some use to other Ministries of the Government of India.

2.4. The organisation of the Ministry consists, under the Minister of Works & Housing, of a Secretary, three Joint Secretaries, 4 Deputy Secretaries, 8 Under Secretaries and twenty sections; there are also five cells. At Appendix I is an organisation chart which shows the distribution of work in the

Ministry. At Appendix II is a list of broad items of work handled in the Ministry, indicating the flow of work from the section upwards. Broadly speaking, the organisation of the Ministry is on conventional lines, the section forming the base and the usual hierarchy of under secretary, deputy secretary, joint secretary and secretary constituting the super-structure. But there is some evidence of experimentation in new directions. For instance, the director of estates is an *ex-officio* deputy secretary in the Ministry and thus operates in two capacities. There is also a 'Cell' system for dealing with special type of work.

We hope to evaluate these experiments and take them into account while formulating our recommendations in the subsequent instalments of our report dealing with the concerned divisions of the Ministry.

2.5. Although the Ministry handles important work of a diverse character, from the point of view of size it is one of the smaller Ministries of the Government of India. There is no precise yardstick or standard for comparing the sizes of Ministries. However, an idea of the size of the Ministry of Works & Housing in relation to the Government of India as a whole and also in relation to other individual Ministries may be had by employing the yardstick of number of sections as also that of number of Joint Secretaries. The Ministry has 20 sections against a total of 1074 sections in the Government of India as a whole. In the largest Ministry (the Ministry of Finance), the number of sections is 222, while in the smallest (the Ministry of Civil Aviation) it is 8. In terms of Joint Secretaries, the Ministry has 3 against a total of 103 in the Government of India. The largest number of Joint Secretaries is in the Ministry of Finance which is 24, while the smallest number of 1 is in the Ministry of Civil Aviation. These facts have been mentioned to indicate the total setting in which the problem of reorganisation in this Ministry has to be tackled.

CHAPTER III

GUIDING PRINCIPLES

3.1. At the very outset the question arose of identifying the guiding principles that should be adopted. Some guide lines were available in the shape of decisions previously taken at the level of committees of Secretaries. These needed to be spelt out in sufficient detail to enable operative work to be done. Other guide lines became clear as our deliberations proceeded. In this chapter, the guiding principles adopted are set out comprehensively. It is possible that some of these may undergo elaboration in future instalments of our report, but basically the principles hereinafter set out will be applicable as much to our future work as they have been to the work done hitherto.

3.2. The question of reorganising the work of the Central Secretariat has been gone into on numerous occasions by eminent individuals and committees. To name just a few, there was the Llewellyn Smith Committee Report of 1919, the Maxwell Committee Report of 1937 and the Tottenham Report of 1946. After Independence, there was the Gopalaswami Ayyangar Report of 1949, the R. A. Gopalaswami Report of 1952, Paul H. Appleby's Report of 1956 and the Statement on Administrative Procedure laid on the Table of Parliament by the Prime Minister in August, 1962. On the whole, despite very considerable thought given to the problem over several decades, the organisation of the Central Secretariat and the method of its work have remained basically unaltered. The one major respect in which a change has taken place has nothing to do with the previous thinking about reform, and that is the tremendous numerical growth of the secretariat, matching the increase in the number of responsibilities and tasks. This change has occasioned much anxiety because of the large numbers of lower grade personnel having had to be employed, with consequent detrimental effects on speed and quality of work.

3.3. While it is true that the complexion of the Central Secretariat has remained largely unaltered, it is also to be noted that there have been numerous experiments in the attempt to fashion new organisations and methods that would lead to quicker and better handling of work. As a result, even today there exists variations from the normal and conventional pattern in some of the Ministries. For instance, the concept of pilot section evolved some years ago continues to operate in a part of the Defence Ministry, even though pilot sections were abandoned as a deliberate decision of the Committee on Administration in all other Ministries as far back as August, 1962. The Department of Iron & Steel and the Department of Co-ordination have their own brand of pilot sections, even though they are not styled as such; instead of a normal section there is a group consisting of a section officer, an assistant and one or two clerks only. The Ministry of External Affairs introduced about a couple of years ago a system of officer orientation based on a new type of functionary styled an "attache". At Appendix III is a note setting out the history of pilot sections and also mentioning some of the other experiments tried out in the direction of officer orientation.

3.4. In the matter of relationship between the administrative Ministry and its attached office also, numerous variations from the conventional pattern obtain. In the conventional pattern, the attached office is a totally separate organisation communicating with its administrative Ministry through official correspondence. At the other end from the conventional pattern is total amalgamation; the clearest example of this is the amalgamation between the Railway Ministry and the Railway Board. Between these extremes a number of arrangements can be visualised and are in fact in operation in different Ministries. A detailed account of the different systems in existence is contained in Appendix IV.

3.5. In any worthwhile attempt at reorganising a part of the Central Secretariat, it is necessary to take account of this background. Fortunately for us this is the very task that had already been carried out by a Committee of Secretaries working under the authority of a Cabinet decision taken in April 1964. While considering demands for more office and housing accommodation, the Cabinet had desired that a small Committee of Secretaries should go into the question of the staffing pattern of the central Ministries and their attached and subordinate offices with a view to moving away from the present pyramidal

structure in the interest of greater speed and efficiency in work. The Committee of Secretaries consisted of the Cabinet Secretary, the Home Secretary and the Finance (Expenditure) Secretary. In its meeting held on the 2nd September, 1964, it found itself in broad agreement on the following points:—

- (i) Large numbers of personnel at the office level act as a drag on administration, and the main objective must be to make substantial reductions at this level.
- (ii) One of the reasons for excessive numbers at the office level is the existing procedure which requires every paper, normally, to be first noted upon in the "office". Therefore, the introduction of a system of first noting at officer level should be seriously considered, so that it would automatically lead to reduction in the number of clerks.
- (iii) Clerks will still be necessary for routine duties like diarising, despatch work and typing.
- (iv) The total elimination of office noting, without a study of how the volume of work can be brought down, might require too large a strength of officers and may lead to wasteful results.

3.6. The Committee of Secretaries then arrived at the following broad conclusions:—

- (a) The problem of staffing patterns requires different attention in the following different situations:
 - (i) Secretariat organisation for handling work relating to an attached office, or a subordinate office having the features of an attached office.
 - (ii) Secretariat organisation for handling work other than (i).
 - (iii) Attached offices.
 - (iv) Subordinate offices.
- (b) Of these four situations, the first requires to be given the top most priority, as action here is more likely to lead to immediate results.

(c) In the reorganisation of this type of work, the following principles should be followed:—

- (i) Delegations should be made to the attached office to such a degree that only the really unavoidable functions and powers are retained in the Ministries.
- (ii) For such work as must continue to travel up to the Ministry even after delegations on the above scale, there should be a system of the secretariat officer of the appropriate level seeing the file of the attached office on a single file system, eliminating the need for a second "office" scrutiny in the Ministry. Such an arrangement may not be possible where attached offices are situated outside Delhi.
- (iii) Based on the above, there should be a structural reorganisation of the Ministries in which "office" staff should largely disappear, leaving only a nucleus to handle what simply cannot be covered by delegations or by the single file system.
- (iv) The above should also apply to work arising out of subordinate offices or other organisations having the features of an attached office.
- (d) A reorganisation on these lines should be enforced in every Ministry, and the overall responsibility for seeing to the implementation of this decision should rest squarely on the Department of Administrative Reforms.

3.7. Amongst the working papers considered by the Committee of Secretaries were the two documents at Appendix III and Appendix IV as also the results of studies conducted by the Department of Administrative Reforms in the Works Division of this Ministry. The Secretary, Ministry of Works & Housing was also a participant in the meeting of the Committee of Secretaries. The conclusions arrived at by the Committee are in any case worthy of the greatest respect, and the association of the Secretary of this Ministry with those conclusions renders

our task more easy. We have had no hesitation, therefore, in accepting the conclusions arrived at by that Committee *in toto* as the starting point of our own enquiry.

3.8. We have also taken note of a decision of the Committee on Administration based on a minute recorded by the Prime Minister. The Prime Minister had emphasised that the machinery of Government must be run on the principle that there is as much disposal each day as is the volume of incoming work. If there is an overload, even the best officer will find himself in arrears and this would lead to attention being given to some matters at the cost of others. The Committee on Administration came to the conclusion that, while strengthening was required at all decision making levels, it was particularly necessary at levels of joint secretary and above, because it is from these levels that administrative leadership, supervision and guidance is expected to flow. The Committee then went on to define the role of secretaries and joint secretaries and enumerated the following principles:—

- (i) The Secretary's "original" charge, *i.e.* work coming direct to him from levels lower than joint secretary, should be as small as possible, so that he can find time for over-all tasks like supervision, discussion with senior colleagues, providing guidance where needed, and, last but not least, study and reflection.
- (ii) A joint secretary's charge should, as far as possible, be a compact one embracing all items integrally connected with his main subject and excluding "strange" items having little or no relevance to his main task. For this charge, the joint secretary should function as a miniature Secretary and should be held accountable. He should put up most of his work, including parliamentary work, direct to the Minister, the Secretary seeing his papers on their way back. In important matters, he may seek guidance from the Secretary, and should in any case keep him informed, usually verbally. In certain types of very important cases, papers could be channelised through the Secretary even on their upward journey. The Secretary should continue to receive cases requiring orders from him under specific rule or instruction.

3.9. Within the frame-work of the guide lines available in the above decisions of two separate Secretaries' committees, we tried to chart out working principles for ourselves. Without involving ourselves in any kind of judgment of existing procedures or organisation we accepted the position that the old arrangements are not good enough. We also agreed that whatever is devised now should not confine itself to superficial matters or fringe issues, but should represent an honest effort to come to grips with core problems. We were clear that there should be no question of recommending changes simply for the sake of devising something new. Our aim has been to evolve recommendations that are severely practical and capable of immediate implementation.

3.10. A preliminary point we dwelt upon was the inter-relationship between work content on the one hand and methods and organisation for handling that on the other. There is a tendency in all organisations to accumulate non-essential work over a period of time. It is this which needs to be identified and dealt with drastically. So long as an organisation is cluttered up with what might be described as administrative rubbish, the task of rationalising and simplifying procedures and structures will remain unmanageable. We found ourselves, therefore, in complete agreement with the observations of the Committee of Secretaries at para 3.5 (iv), where an indication has been given about the necessity for studies in the direction of bringing down the volume of work. In essence, our approach has been to analyse the work content of each section item by item in order to identify non-essential work, to devise proposals for eliminating that and then, with work content brought down to essentials, to suggest the simplest arrangement that we could think of for handling the remaining work.

3.11. We then proceeded to spell out some of the points in the guide lines set by the two Secretaries Committees. The first point taken up was *delegations*.

- (i) In regard to delegation of powers from the administrative Ministry to the attached office, we decided to examine each item of work content to see what need not come to the Ministry. Apart from the test of broad judgment, we also adopted the test of

the level at which a particular matter was being finally disposed of in the Ministry under the present arrangements. In the case of work coming up from the CPWD, for instance, if certain items were being finally disposed of at levels below the joint secretary, we considered them as candidate items for delegation on the theory that the proposals of as senior an officer as chief engineer should not need final orders from officers of the rank of deputy or under secretary.

(ii) There was then an aspect of the delegation problem not covered by the two Secretaries committees. The work content of an administrative Ministry sometimes becomes unnecessarily burdened with non-essential load because the Ministry itself does not have the final power. This is particularly the case in financial matters, where the eventual power is retained in many cases by the Finance Ministry. But in stray cases there are other power-holding Ministries also (*e.g.* Home) involved. We have considered it necessary to examine the question of delegation of powers from these source Ministries to the administrative Ministry. Delegation in suitable cases would not only reduce workload considerably in the Ministry itself, but would also make it possible to consider re-delegation in appropriate cases to attached offices, thereby leading to further reduction of work-load in the Ministry.

(iii) There is lastly the question of delegations within the Ministry. Here we have borne in mind the views of the Committee on Administration in regard to the need for giving relief at decision making levels, particularly at the level of joint secretary. A joint secretary is meant to function as a miniature Secretary in respect of the Ministry under his charge. Therefore, only such papers should go to him as would go to a Secretary in a small department if it had no joint secretary. Broadly, a joint secretary should need to see only the following types of cases:—

(a) Cases dealing with major policy;

(b) Cases dealing with major administrative issues; and

(c) Cases required to be seen by higher authorities.
i.e. Secretary, Minister, Cabinet.

For each such case a joint secretary need see papers *only* at non-routine stages. Normally these should be—
the stage of decision making;
the stage of drafting of substantively important notes, letters or orders.

All cases and papers other than those covered by the above should normally *not* go above deputy secretary level. This means that deputy secretaries should dispose of, or arrange for disposal at levels lower than themselves of,—

(A) all cases involving policy of a minor or fringe character;

(B) all cases involving administrative issues other than major administrative issues; and

(C) all routine stages of cases otherwise qualifying for attention at joint secretary level.

3.12. The next point taken up for spelling out was the single file system, a reference to which exists in the conclusions arrived at by the Committee of Secretaries. The concept and practice of this system is by no means new. It was recommended for adoption in the West Bengal Government by the Rowland Committee as far back as 1945 in the following terms:—

“Duplicate noting in the ministry and the department should be abolished. In particular:

- (i) The practice of communicating proposals from the Department to Ministry by letter should cease.
- (ii) All matters requiring both departmental and ministerial consideration should be dealt with in special files.
- (iii) Proposals from the Department should be as comprehensive as possible.

- (iv) The Head of the Department should send the special file with his proposal to the Ministry where it should be dealt with initially by an officer who should indicate the action to be taken if he is unable to pass final orders immediately."

The Rowland Committee went on to suggest that the O & M Division of the Chief Minister's Office should after reasonable experience examine whether the best solution would not be to have a common office serving both the ministry and the department. The single file system has been in vogue in the secretariat of the Bihar Government for over a decade now. In one form or another it also obtains in a number of central organisations. A list of the organisations where the system is in existence is at appendix V.

3.13. The expression "single file system" means different things to different persons because of the variations possible. The clumsiest version of the system is where an attached office sends up its file on the subject instead of a letter, the file is then treated as a first receipt in the administrative Ministry and noting and other processes go on in the usual manner on a separate secretariat file. This version carried no benefit because duplicate consideration on a separate file continues in the Ministry; in fact the file of the attached office gets held up. Another version of the single file system is the one in which the file of an attached office comes up in original to the administrative Ministry and is then noted upon from the assistant level upwards. In this version, a duplicate file in the administrative Ministry is done away with but not duplicate noting at office level. Still another version is the one in which an attached office makes a file of selected papers for reference to the Ministry, thus depriving the Ministry of the full background of a particular case. For our purpose we accepted that the single file system (hereinafter referred to as SES) should not mean simply substituting letters by files. It should also mean the elimination of duplicate files in the recipient office. Inherent in the idea of SFS should be the elimination, as far as possible, of duplicate consideration at office level. This is the version of SFS that we have taken up for application, leaving other versions aside.

3.14. What the Committee of Secretaries have suggested in essence is the introduction of a practical officer oriented system. One of the essential prerequisites for this is an improved *filing*

system. We have, therefore, given high priority to the need for introducing a handy file-index system as also a handy file storage system that would be geared to the need of an officer oriented structure and would facilitate less dependence on clerks.

3.15. The crucial point in the guide lines set by the Committee of Secretaries was in regard to staffing patterns. While our detailed proposals for each division are in the appropriate chapter, the broad principles which we adopted were as follows:—

- (a) As indicated by the Committee of Secretaries, office staff should be cut down to the minimum. Clerical staff should be necessary only for routine duties like diarising, despatch work and typing.
- (b) As far as possible, an “officer oriented” system should be introduced, in which the initial consideration of a paper should be at the hands of an officer rather than of “office”. The aim thus should be the elimination of office noting wherever possible. The distinguishing feature about the officer who does initial handling should be that he is empowered to dispose of cases of appropriate categories at his own level.
- (c) The number of levels of consideration should be reduced. Within a joint secretary’s charge, there should not ordinarily be more than three levels of consideration up to and including that of the joint secretary.
- (d) There should be no stinting in the matter of providing stenographic assistance at all “consideration” levels.
- (e) There cannot be a uniform prescription for the staffing pattern of all divisions. For each division a tailor made pattern should be devised taking account of the workload, handling procedures and other circumstances obtaining there. The pattern for a division handling the work coming from an attached office would, for instance, be different to that of a division handling original work.

CHAPTER IV

WORKS DIVISION

4.1. The Works Division of the Ministry handles policy and administration relating to the work of the Central Public Works Department.

4.2. The Central Public Works Department is one of the bigger departments of the Government, comprising as it does 14,085 personnel including 1,545 Class I and Class II officers. These figures exclude work-charged staff, which numbers 13,900. The department handles an annual construction programme of about 40 crores of rupees. It has a number of special features which require to be taken note of. For one thing, because of the size of the department and the magnitude of its work load, the chief engineer in charge of the department is assisted by a number of additional chief engineers who correspond directly with the Ministry in respect of their spheres of responsibilities. There are 4 additional chief engineers in Delhi, one each at Nagpur and Calcutta, and one in charge of a special project in Nepal. There is also an additional chief engineer in Delhi for vigilance work. Another special feature is that the administration of the department is looked after, under the chief engineer, by a director of administration drawn from the ranks of the general services; the present incumbent, for instance, is an IAS officer of the rank of deputy secretary. The headquarters office of the department is what is called a "participating office", which means that it draws its personnel at the level of deputy director (equivalent to under secretary) and below from the three organised Central Secretariat Services.

4.3. The division of the Ministry which looks after all this work consists at the base of four sections. The two works sections (Works I and Works II) deal with proposals of construction of civil works through the agency of the CPWD and connected matters like contracts, CPW codal formalities etc. The two sections work under a hierarchy of officers consisting of 1 under secretary, 1 deputy secretary and a joint secretary. The two

establishment works sections (EW I and EW II) deal with all establishment matters concerning the Central Public Works Department. These too are looked after by a hierarchy of officers consisting of 1 under secretary, 1 deputy secretary and the same joint secretary. The existing relationship between the Works Division of the Ministry and the office of the chief engineer is on the conventional pattern. Communications both ways are made through formal letters, and on the same subject generally there is a file in the Ministry and another one in the chief engineer's office.

4.4. The situation obtaining here seems to be eminently fit for application of the principles laid down by the Committee of Secretaries in regard to the handling of work in the Secretariat relating to an attached office [para 3.6(c)]. The treatment suggested there was meant for the very kind of conventional relationship that obtains between the Works Division of this Ministry and the chief engineer's office. The heavy reliance in that treatment on delegations to the attached office and also on the single file system can be contemplated for application here without much cause for uneasiness because of the fact that the chief engineer's office is an old and well-established organisation which can be expected to carry the additional responsibilities which the new system visualised by the Committee of Secretaries would cast on it. Furthermore, the chief engineer's office being a 'participating office' lends strength to the organisation, since personnel at the levels of dealing assistants, section officers and deputy directors are drawn from a pool which already services the Central Secretariat. The existence of the institution of a director of administration helps to justify experimentation in the direction indicated by the Committee of Secretaries. However, it is important to note that it will not be possible to operate the new system in its entirety in regard to references to the Ministry from the out-station additional chief engineers located at Nagpur and Calcutta.

4.5. For bringing our study down to earth we examined in detail the results of work analysis already carried out by the Department of Administrative Reforms in the four sections of the division. The method of study adopted was to examine a representative sample out of the files opened in each of the sections during 1963 with a view to seeing whether a particular item constituted non-essential work or not, and if not whether

it could have been dealt with on a single file system. In this process almost every fifth file was examined by officials trained in methods of administrative analysis. The forms for exhibiting data were so devised as to throw up in a clear and quantitative fashion the amount and type of work which could be considered for delegating out of the secretariat altogether, the amount out of the balance which could be handled in the secretariat on a single file system with the CPWD files coming up in original, and the remaining work which would require to be handled within the Ministry. At appendix VI is a note explaining the technique adopted in some detail. The data furnished by the studies were particularly useful as providing a starting point for working out proposals for delegation from the Ministry to the attached office.

4.6. Consistent with the principles set out in Chapter III, we first made a detailed examination of the work that could be regarded as non-essential and consequently fit for being delegated out of the Ministry altogether. We also considered whether there was scope for delegation from other Ministries, notably Finance, to the administrative Ministry, as this would also help to reduce the work content in this Ministry down to essentials. We found it possible to suggest some procedural simplifications which also should contribute to bringing work content to the really essential level. We then considered what part of the essential work so determined could be handled on the single file system. We took particular care to work out the details of a new filing system. We then proceeded to suggest a new organisational structure for handling the work of the division. And finally we went into the question of phasing out the implementation of our recommendations. Our total recommendations for reorganisation of the Works Division are thus of a composite kind, in which the various types of recommendations are integrally linked to each other and the whole lot, in a sense, stand together. For each ingredient of our thinking, a separate section follows.

SECTION I: DELEGATIONS FROM THE MINISTRY TO THE ATTACHED OFFICE

4.7. Apart from the scope for new delegations to the CPWD indicated by the work analysis reports on each dealing section in the Ministry, we invited the chief engineer to suggest

what further delegations were possible. While examining the merits of each suggestion although we applied broad practical judgment, we tried to keep in mind the following:—

- (i) As already mentioned in para 3.11 (i) where we found that certain items were being finally disposed of in the Ministry at levels below the joint secretary, we generally considered that there was a fit case for delegation of powers out of the Secretariat. We felt that the proposals of a chief engineer or even an additional chief engineer should not normally require orders from deputy or under secretaries.
- (ii) Matters on which the Ministry was, in fact, not making any significant contribution were also regarded by us as deserving to be delegated out of the Secretariat.
- (iii) Un-delegated powers responsible for major contributions to the work-load in the Ministry received special attention from us to see how far a process of delegation could reduce the work-load without divesting the Secretariat of its essential function.

Recommendation

4.8. Having identified points where delegations were possible, we divided the various proposals into two categories—administrative and financial. For each proposal we drew up a broadsheet in which was mentioned the present position, the precise nature of the delegation suggested, a brief justification in support of the proposal and the manner in which the proposed delegation would have to be given effect to. We felt that this would not only help us to formulate each proposal in concrete terms, but would also help Government at the stage of processing our proposals for implementation. A total of 45 broadsheets were drawn up, of which 21 involve the delegation of administrative powers only and the remaining 24 the delegation of financial powers. The broadsheets are at appendix VII, and we recommend that the proposals contained therein may be accepted.

SECTION II: DELEGATION OF FINANCIAL POWERS FROM THE MINISTRY OF FINANCE TO THE MINISTRY OF WORKS & HOUSING.

4.9. The high water mark of financial delegations was reached when administrative Ministries were given additional powers under the Delegation of Financial Powers Rules, 1958, *vide* Ministry of Finance Memo. No. 10(4)-E(Coord)/62, dated the 1st June 1962. The most important of the powers delegated related to the reappropriation of funds, the creation of posts, the re-delegation of powers to heads of departments/offices, the sanctioning of schemes, the incurring of contingent or miscellaneous expenditure of an unusual character and indents, contracts and purchases.

4.10. The additional powers with administrative Ministries were, however, short-lived, as many of them were later completely or partially withdrawn. The present position in respect of three of the most important powers is as below:—

Nature of Power	Position as on 1-6-1962	Existing position
(i) Reappropriation of funds	Full powers	Restricted powers for reappropriation among primary units of 'Pay of Officers', 'Pay of Estt.' etc.
(ii) Creation of posts	Full powers	Full powers for Plan and security activities ; Nil in regard to others.
(iii) Expenditure on schemes.	Full powers for expenditure sanction if funds were available and the project as a whole had been accepted by the Ministry of Finance.	Even if funds are available the expenditure sanctions for new projects are to issue only with the concurrence of the Ministry of Finance.

4.11. It appears that the powers originally delegated in 1962 were subsequently withdrawn in varying degrees owing to the emergency that overtook the country in October 1962. The impact of the emergency was to create a situation of financial stringency owing to the need to divert funds for defence requirements, and this position still continues. However, we have tried to see whether, accepting financial stringency as a fact of administrative life, it is possible to think of restoring the delegations of 1962, thereby making for operational facility on the part of administrative

Ministries and their field organisations. While considerations of financial stringency might justify tighter budgets, there is perhaps little justification for financial procedures to be made unnecessarily cumbersome on the plea of stringency. In fact, when funds are low, it is all the more important to ensure that spending of whatever funds are available is efficient and well-planned, so that there is maximum return on outlays and good programmes do not get held up through well meant but pointless complications of financial procedure.

Recommendation

4.12. On the basis of analysis of cases referred to the Ministry of Finance by the Works Division over a test period, as also in the context of the history of delegation of financial powers, we have evolved a set of proposals of delegation of financial powers from the Ministry of Finance to the Ministry of Works & Housing. As in the case of the proposals for delegation of powers from the Ministry to the attached office, we have put our proposals in the form of broadsheets which are at appendix VIII.

We recommend that the proposals contained in these broadsheets may be accepted.

4.13. The following points require special mention:—

- (a) Proposals involving restoration of financial powers previously granted to administrative Ministries are at Nos. 2, 12, 13 and 14 of the broadsheets. The remaining proposals seek to enhance financial powers in other respects.
- (b) The 1962 delegations related mostly to financial rules, and contained practically no major delegations under the Fundamental Rules or the Supplementary Rules, except in regard to fixation of pay of Government servants. Our proposals extend to the Fundamental Rules and the Supplementary Rules also.

SECTION III: PROCEDURAL SIMPLIFICATIONS

4.14. In the course of our study we came across two types of work contributing fairly substantially to the work load handled in the Ministry. For both we have procedural simplifications to suggest that will reduce the burden of unnecessary work and also ensure a quicker and more meaningful processing.

4.15. The first of these concerns sanctioning of the building schemes of the various administrative Ministries other than Ministries like Defence, Railways and Information & Broadcasting which operate on their own budget heads. The original position about such schemes, obtaining prior to November, 1957, was that the first stage of according administrative approval was entirely in the hands of the administrative Ministry concerned; at that stage it was only the essentiality of the building from the point of view of that Ministry's programme that was certified. Thereafter expenditure sanction was also accorded by the Ministry concerned, in consultation with the Ministry of Finance. If then the scheme managed to find its way into the budget as a result of consideration at the hands of the Works Priority Board, on which the Ministry of Finance is represented, the stage was set for its execution. There were thus three stages, and Finance came into the picture in two of them, viz. the stage of expenditure sanction and that of budgetary provision.

4.16. After November 1957, the Ministry of Finance desired that associated Finance should be consulted even at the stage of according administrative approval. This resulted in a scheme being seen by Finance at the stage of administrative approval as well as at the stage of expenditure sanction, if its cost exceeded the power of the chief engineer, and also at the stage of inclusion in the budget. While there can be no questioning the position that there should be adequate financial scrutiny of building schemes, it is doubtful whether a system of triple scrutiny by Finance as it obtains today is unavoidably necessary to achieve that objective. It is also doubtful whether the presence of the Ministry of Works and Housing in the chain of processing is so advantageous as to justify the additional stage involved, with its implications in terms of additional work and delay. So far as can be seen, the present complicated system for sanctioning of building schemes tends to blur responsibility and delay worthwhile schemes.

4.17. We have, therefore, gone into the question of simplifying the system. In our opinion, no useful purpose is served by having two separate stages for administrative approval and expenditure sanction, particularly now that the former also requires consultation with the Ministry of Finance. We are of the view that these two stages should be combined into a single stage in which the administrative Ministry concerned should in consultation with Finance accord approval to a particular building scheme

after due scrutiny from administrative and financial angles. Thereafter the only stage which a scheme should need to be processed through is the stage of getting it included in the budget through the Works Priority Board. This simplification would eliminate one stage and, what is particularly important from the point of view of the present study, it would cut out the need for the schemes of the administrative Ministries being processed in the Ministry of Works & Housing at the stage of expenditure sanction. When an administrative Ministry processes a scheme with Finance for approval, we suggest that internal arrangements may be made in the Ministry of Finance under which building schemes costing not more than Rs. 5 lakhs should be processed by the associated Finance of the Ministry concerned without consulting the specialists in Works Finance. Schemes costing more than Rs. 5 lakhs may be referred to the Works Finance. At present schemes costing more than Rs. 10 lakhs are required to be referred to the Expenditure Finance Committee (E.F.C.) presided over by the Finance Minister. We suggest that the cost limit for schemes to be referred to this Committee should be raised to at least Rs. 25 lakhs, and that if this cannot be considered at present in view of the current financial stringency it should be taken up for consideration as soon as times are better. The arrangement suggested carries the implication that it should no longer be necessary for the Ministry of Works & Housing to prepare agenda papers on behalf of other administrative Ministries for meetings of the E.F.C.

Recommendation

4.18. The existing position about the procedure for sanctioning of schemes and the history leading upto it is set out with reference to chapter and verse of the relevant rules and instructions at appendix IX-'A'. This appendix also describes in detail the various steps of the new procedure suggested by us. We recommend that the revised procedure suggested in para 4.17 and the steps set out in appendix IX(B) may be adopted in toto.

4.19. Studies disclosed that both the Ministry of Works & Housing and the Works Division of the Ministry of Finance raise a variety of queries on the preliminary estimates furnished by the CPWD, and after receipt of replies from the CPWD further queries are sometimes raised. The time involved in this process could be significantly reduced if a standard check list of information points is devised containing questions relating to

the detailed information required for full scrutiny by the Ministry of Finance. The information furnished in accordance with this check list should be attached to the preliminary estimates and should form an essential part thereof. The check list may be drawn up by the Works Division of the Ministry of Works and Housing in consultation with the Ministry of Finance and the CPWD taking account of the comprehensive range of queries that are usually raised with respect to estimates for different types of buildings when such information is not given in the preliminary estimates.

4.20. The second type of work where procedural simplification can fruitfully be done is the work relating to additions and alterations of buildings. Strictly speaking this work need not come to the Ministry at all since the cost of the works involved is well within the powers delegated to the chief engineer and his officers. Since cases of additions and alterations frequently concern important personages, the practice has grown for sanctions to such cases being accorded from the Ministry. On the whole we consider that this arrangement may continue; the chief engineer also shares our view.

Recommendation

4.21. Studies show that separate files are opened in the Ministry for proposals relating to additions and alterations, which are generally received direct from the executive engineers concerned. The scrutiny involved in these cases is of a routine character, and the work is largely repetitive. This fairly simple type of work however forms a large part of the total work of the section dealing with it, in as much as out of 832 files opened in the section during 1963, 375 files related to additions and alterations. We are of the view that, noting on files for this type of work could be conveniently eliminated by processing each proposal for addition or alteration according to a standardised drill laid down in a form that may be prescribed for submission of the proposal. A suitable form has been devised on the basis of study of actual cases and the points for scrutiny that arose there.

The form suggested is at appendix X. If proposals for additions and alterations are submitted in this form, the time taken in examination would be considerably lessened and hardly any noting would be necessary. Besides, the possibility of back references to the executive engineer concerned would be reduced. References to precedents would also be much easier. And the total time involved in processing a proposal would be considerably cut down since separate files for proposals would be replaced

by only one file with 8 to 10 volumes for the different types of residential accommodation. We, therefore, recommend that the work relating to additions and alterations should be handled according to the procedure indicated above.

SECTION IV—SINGLE FILE SYSTEM

4.22. As already mentioned in para 3.13, the version of the single file system that we have considered for application is one in which duplicate files in the recipient office are eliminated and, as far as possible, so is duplicate consideration at office level.

4.23. In considering the application of the single file system to the Works Division, the following issues arise:—

- (i) What kind of cases should be covered by SFS?
- (ii) How should the cases covered by SFS be handled?
- (iii) How should cases *not* covered by SFS be handled?

4.24. *Coverage of SFS.*—The decision of the Committee of Secretaries in effect divided the existing items of work handled in a Ministry into three lists—

List I—Items to be covered by delegations and thus to be excluded from the Ministry's purview.

List II—Items which would continue to be handled in the Ministry, but on SFS.

List III—Items which would continue to be handled in the Ministry, but not on SFS.

The compilation of List I will be a simple matter once orders have been passed on the delegation proposals in Section I. Of the remaining two lists, we concentrated on drawing up List III in specific terms, because then all remaining work would automatically go into List II. For drawing up List III we accepted the working principle that it should be the briefest possible.

Recommendation

4.25. Our proposals for what items should comprise List III are set out in detail at appendix XI(a) and XI(b). We recommend that these may be adopted, all other items being left to be handled on the SFS.

4.26. *Handling of cases covered by SFS.*—The basic idea should be that all items of work relating to List II should, whether on their upward journey from the CPWD to the Ministry or on their downward journey, be handled on a single file which should be of the CPWD office. This means that all noting in the Ministry should be on the CPWD file. Also, all matters originating in the Ministry or received in the Ministry for further processing from other Ministries or from State Governments or from non-government sources should be sent down in original to the CPWD office treating the latter as if it was the office of the Ministry. For all practical purposes, therefore, the CPWD office should, in respect of cases relating to List II, function as the secretariat office.

Recommendation

4.27. In this background, we have worked out a drill which we recommend should obtain in the handling of cases covered by SFS. The details of the drill are at appendix XII.

4.28. *Handling of cases not covered by SFS.*—These will be List III cases and for handling them no particular drill needs to be set out. In all such cases, the Ministry will continue to have a separate file containing its own noting etc.

SECTION V—FILING SYSTEM

4.29. With the introduction of the arrangements suggested in the above section, the Ministry will need to maintain only two types of records. There will be, firstly, copies of noting in important cases of List II. Secondly, there will be files relating to items in List III. The number of files to be maintained will be considerably less than hitherto, and it should be possible to consider streamlining of the whole filing system.

4.30. Our first recommendation in this connection is regarding the introduction of a more scientific file index system. The present system, which is in accordance with the provisions of the Manual of Office Procedure, suffers from certain disadvantages, chief amongst which are the following:—

- (i) There is lack of uniformity in that different sections allot different standard numbers to identical subjects or sub-subjects.

- (ii) Files can be traced easily only if the assistant or the section officer had occasion to deal with them; otherwise a time-consuming search through the file registers becomes necessary.
- (iii) Indexing by subject as well as by individual names is necessary in the present system.

The overall disadvantage of the existing system is that it makes the official machinery heavily dependent on record clerks.

Recommendation

4.31. If a new system is to be devised it must have answers for the above disadvantages. In particular, it should fit in with an officer-oriented system, where the basic dealing hand will be an officer who may not have much time to make lengthy searches for old files. In fact, the system should be so simple that files both current and recorded can be picked out without difficulty even when the dealing officer or his personal staff is not available. A standard file index to meet all these points is suggested at appendix XIII and we recommend its acceptance for application to the Works Division.

Recommendation

4.32. The handling and storage of files is as important as an efficient file indexing system. While all files which are over three years old should continue to be in the record room, current files and those recorded which are not more than three years old should be stored in filing cabinets or filing almirahs kept as near the basic dealing officers as possible. It should be the duty of the steno-typist attached to the basic dealing officer to maintain all current files in accordance with the file indexing system suggested above. In this way the basic dealing officer will have all files handy and will not need to depend on an army of record clerks. We have explained and spelt out our recommendation in regard to system of filing and storage of records in appendix XIV, where we have also taken account of the transitional difficulties when the old system is undergoing a change to the new.

SECTION VI—STRUCTURAL REORGANISATION

4.33. With non-essential work cleared out through delegations, and with various procedural simplifications including the single file system introduced, it is now possible to consider a structural reorganisation of the Works Division.

4.34. A pre-requisite for reorganisation is an assessment of the new work load. Until the proposals about delegations and procedural simplifications have been implemented, the resulting volume of work cannot be precisely assessed. But waiting until delegations and procedural simplifications have become operative would delay matters. It would mean carrying on for some time with a staffing pattern which was evolved in a different context of work load and work methods. The continuance, even for a temporary period, of more than the necessary numbers of men and of stages of handling may tend to defeat the objective behind the new proposals. We have, therefore, proceeded straightaway to devise a suitable reorganisation on the basis of as reasonable an assessment of resultant work load as can possibly be made at this stage. After the new system that we propose has been in operation for some time, a thorough work study could be made to assess the new work load more precisely and thereafter the structure could be further adjusted suitably.

4.35. On a rough computation, after the proposed delegations and simplifications become operative, a reasonable estimate of the remaining volume of work could be as follows:—

- I. '*Establishment Works*' side.—20 per cent of the present work-load at Assistant's level and 62 per cent of the present work-load at officers' level.
- II. '*Works*' side.—34·3 per cent of the present work-load at Assistant's level and 56·3 per cent of the present work-load at officers' level.

The basis on which this estimate has been arrived at is set out in appendix XV.

4.36. We suggest that in the new arrangement the reduced function of the "office" (it could better be called "registry") should be to handle work relating to receipt and despatch, typing, preserving of non-current files, watching external movements of files outside the Ministry and maintaining some necessary registers. All these items can be handled by LDCs. Since we visualise that there should be no noting at office level, it would be unduly costly to provide for the supervision of such staff at a level higher than assistant. The LDCs should be grouped according to the main substantive subjects dealt with in the division and a separate group should be allotted to receipt

and despatch on the one hand and typing on the other. The assistant in charge of the registry may be placed under the overall control of one of the dealing officers at the bottom level.

4.37. We also suggest that the duties of stenotypists attached to officers should be enlarged beyond merely shorthand and typing and should additionally include:

- (a) opening of files with the help of file index and under the guidance of officers;
- (b) maintenance of current files and internal movement diary, and collection of relevant papers;
- (c) routine liaison work.

Stenotypists at this level will, under this arrangement, take over some functions of records management. This step will not only help to fill up any spare capacity in the otherwise generous scale of a stenotypist per officer, but more important than that it will enable current records to be readily available to the basic dealing level.

4.38. With the role of the office delineated in the above manner, it is now possible to consider the arrangements at the "consideration" levels.

4.39. At the head of the pyramid of dealing officers should obviously be the joint secretary in charge of the Division. As visualised by the Committee on Administration, he should function as a miniature secretary in regard to his charge. Below him, if the principle of not more than three levels of consideration is to be made applicable, there can be only two levels of officers. It is suggested that, ordinarily, the middle level should be manned by either a deputy secretary or under secretary and that the bottom level should be manned by functionaries to be styled 'Principals' and 'Asstt. Principals'. In this arrangement, it would not be the case that an assistant principal channelises his work to a principal or that an under secretary channelises his work to a deputy secretary. While there may be two scales of pay in the bottom level and also two in the middle level, the flow of work will not be governed by the number of scales of pay but would go from one level of consideration as such to another.

4.40. It is difficult at this juncture to say what should be the work norms for officers at the different "consideration" levels mentioned above, and for that reason, despite an estimate of the work load having been made, it is difficult to be categorical about the number of officers required at the different levels so far as the Works Division is concerned. However, as a beginning the following arrangement is suggested for manning the middle and the bottom levels of officers:—

Middle level: 2 deputy secretaries, one to look after 'Establishment Works' and the other 'Works'.

Bottom level: 2 principals and 1 assistant principal to handle 'Establishment Works' cases, and another group of 2 principals and 1 assistant principal to handle 'Works' cases.

For the middle level, the situation here is such that it may not be advisable to depend on manning at the under secretary level. Manning by deputy secretaries ensures that the work coming on the single file system from senior sources in the attached office will receive adequately senior and responsible handling in the secretariat. It also ensures continuity in the event of temporary non-availability of the joint secretary. For the bottom level, the total number of principals/assistant principals suggested has a basis in the quantum of estimated work load. The proportion between principals and assistant principals has been kept at 2:1 on the theory that the operative functionary at this level is the principal, the assistant principal's post being there merely for initiation and training purposes.

4.41. When these proposals were discussed with departmental officers, an apprehension was voiced that a too steep drop in the number of personnel at dealing or consideration levels may result in dislocation of work. While we consider that the staff proposed by us is adequate for the work load that would remain after delegations and procedural simplifications have been put through, we would like to avoid a feeling that the new experiment may result in dislocation and hold-up of work. For an initial period, therefore, when the division is going through a transition from the old to the new system, we suggest that there should be an additional principal for 'Establishment Works' and another one for 'Works'. There may also be an additional clerk in the registry. These additional arrangements may continue for a year, at the end of which the work study visualised in para

4.34 could take place. If the work study confirms our estimate of the eventual work load, this additional staff could at that time be dropped. If, on the other hand, the work study shows our estimate to have been on the conservative side, suitable strengthening could be considered at that stage.

4.42. Work in the Secretariat will be of two kinds. So far as List III work is concerned, initial handling will be by the principal or assistant principal concerned. It is important that standing orders should be devised as early as possible that will define the powers at each level for disposal of work as also the channel of flow of work, so that principals and assistant principals do have powers and do not remain a revised version of the present section officers and assistants, who generally speaking do not possess any significant powers of disposal. List II cases will come to the Ministry on the single file system, unless the CPWD marking mentions an officer by designation or by name. Work received in this way should ordinarily get first handling at the level of principal or assistant principal. However, it is perhaps reasonable to assume that once the whole system settles down and the office of the chief engineer, CPWD, gets accustomed to putting up cases in the right way, an increasing volume of work may get disposed of by direct marking from the CPWD to officers of the middle or top level. A tendency in this direction should be encouraged as time goes on rather than the other way about.

4.43. The arrangement visualised leans heavily on the new functionaries, principals and assistant principals. It is important, therefore, that ideas about the kind of persons these functionaries are expected to be, how they will be recruited and how much they will be paid should be clear. What is fairly certain is that the proposed system cannot work unless *only* the right type of persons are selected for being posted as principals and assistant principals. If the arrangement suggested by us turns out to be a successful proposition, and if for that reason or even otherwise similar arrangements are introduced later more widely, a stage will come when the whole question of putting the recruitment, training, pay scales and other service conditions of principals and assistant principals on a proper footing will have to be tackled centrally from the Home Ministry. For the present, the proposition is a restricted one of introducing a new arrangement in a single division on an experimental basis. This being the case, it should not be necessary to allow long range considerations like the effect on existing cadres and so on to

loom large and cramp thinking about what is best suited for the limited problem in hand. Therefore, it should be sufficient for the present to devise *ad hoc* arrangements for securing the right type of persons as principals and assistant principals, leaving long range problems to be settled at the appropriate time later.

4.44. We have two suggestions to make for these *ad hoc* arrangements:—

- (i) The basic pay scales of principals and assistant principals should be identical with those of section officers and assistants; this would prevent complications about getting new scales of pay sanctioned and consequently new cadres having to be created or posts having to be created on an ex-cadre basis. However, in recognition of the additional responsibilities proposed to be entrusted to these functionaries, principals and assistant principals should draw special pay, for which we suggest the scale of Rs. 125·00 and Rs. 75·00 per month respectively; and
- (ii) The above arrangements will make the task of selecting suitable personnel for these posts easier, since no promotion as such will be involved. We strongly recommend that personnel to be posted as principals and asstt. principals should be hand-picked through a process of selection in which merit and suitability should play the major role.

4.45. At appendix XVI is an organisation chart describing the suggested staffing pattern. It will be observed that stenographic assistance has been provided on a generous scale at all consideration levels. The new structure proposed may be summed up and compared to the present one as under:—

	<i>Present</i>	<i>Proposed</i>
Deputy secretary	2	2
Under secretary	2	..
Section officer	4	..
Principal	4 + 2 (short-term)
Asstt. principal	2
Assistant	20	1
Stenographer	3	2
Stenotypist	6 + 2 (short-term)
U.D.C. . . .	4	..
L.D.C. . . .	9	4 + 1 (short-term)
TOTAL :	44	21 + 5 (short-term)

This proposal excludes the post of O.S.D. (Work-charged Establishment) which, it is recommended, should continue until his work has been studied.

Recommendation

4.46. We recommend that the above scheme of staffing along with all attendant points discussed above may be accepted for the Works Division.

4.47. We realise that the reorganisation recommended by us is a radical departure from conventional structures in the various Ministries. We have not hesitated to make these recommendations because we feel there is an urgent necessity to break away from the ruts of conventional thinking in this matter of secretariat structures. We are also convinced that what we have suggested is sound and merits a fair trial under the personal supervision and encouragement of the Secretary of the Ministry. Our scheme will result in the elimination of two stages of consideration and bring the number of levels of consideration up to the joint secretary down from five to three. It will also result in reducing clerical and other staff to the extent of 18 (out of 44) straightaway and 23 eventually. On the financial side, our scheme will eventually result in an annual saving of roughly Rs. 1,40,000. Most important of all, our proposal constitutes a streamlined structure which we are confident has a good chance to work successfully because of the thinking that has simultaneously gone into related problems like delegations, handling procedures and the like.

4.48. We have not gone into the question of how personnel rendered surplus by adopting what we have recommended should be dealt with. This is really part of a larger problem, for which there is already a procedure designed by the Home Ministry. Surpluses will thus have to be dealt with in accordance with existing policy and procedure on the subject.

Section VII: IMPLEMENTATION

4.49. While the previous sections set out a fairly comprehensive scheme of reorganisation, attention will need to be given at the stage of implementation to two points:—

- (1) the necessity for phasing and timetabling the implementation of individual ingredients of the reorganisation scheme; and

- (2) the list of consequential tasks and the working out of details in regard to those.

Recommendation

4.50. Regarding (1), we recommend that a plan of implementation may be worked out in which it is ensured that the change-over from the present to the new system is as smooth as possible and at the same time not unnecessarily long drawn out. For this, the various ingredients of the reorganisation suggested by us as well as the consequential tasks arising out of them will need to be listed and implementation planned according to a time-table. It is our view that with careful planning and some preparatory work it should be possible to complete the implementation process within a period of two months from the date of acceptance by Government of our recommendations.

4.51. Regarding 4.50, the following is a list of some of the consequential tasks that will arise out of acceptance of our recommendations:—

- (i) Have orders regarding delegation of powers prepared and finalised.
- (ii) (a) Get prepared Lists I, II & III of closed and current files opened in 1962, 1963, 1964 and 1965;
 - (b) Develop a plan for transferring cases covered by Lists I & II in (a) above to the CPWD.
 - (c) Develop a plan for receipt of files by the different sections of the office of the CPWD with regard to (b) above.
- (iii) Develop a plan for renumbering closed files under List III of 1962, 1963, 1964 and 1965 as also for the current files.
- (iv) Develop a detailed plan for the working of the divisional registry and its relationship with the central registry, other divisional registries which are likely to be established and the steno-typists/stenographers attached to officers.
- (v) Develop a plan for storage and maintenance of closed files of 1962, 1963, 1964 and 1965 under List III by the registry on the one hand, and of current files by the steno-typist attached to the dealing officer on the other.

- (vi) Work out the distribution of items of work between different principals/assistant principals.
- (vii) Get prepared an inventory of guard files, sectional note-books etc., getting additional copies thereof made for distribution among the principals/assistant principals concerned.
- (viii) Get developed a plan for accommodation for office staff in the registry and for the principals/assistant principals and their steno-typists, as also one for supply of furniture and equipment required for the registry staff, and for the principals/assistant principals and their steno-typists.
- (ix) Get defined wherever necessary and to the extent considered desirable the powers of disposal of work at the level of principal/assistant principal and deputy secretary.
- (x) Get developed a plan for installing the new staffing pattern, *i.e.*
 - (a) Creation of posts of principals/assistant principals, steno-typists, etc.
 - (b) Selection of principals/assistant principals and other staff.
 - (c) Taking steps in connection with the reduction of posts rendered surplus.
- (xi) Get listed steps to be taken for placement elsewhere or other action under existing policy, of personnel rendered surplus.

4.52. In view of the rather radical changes that will need to be introduced and the large number of points that will require detailed attention, the success of the proposed reorganisation will depend on the efficiency of the organisation responsible for implementation. We have considered it appropriate, therefore, to make a recommendation about the organisation for implementing this report. We have taken account of the fact that there will be subsequent instalments of our report which will also need detailed attention at the implementation stage.

Recommendation

We suggest that an implementation organisation on the following lines may be set up:—

- (1) The responsibility for processing the report for acceptance or otherwise, of its recommendations as well as for overseeing the implementation of the recommendations that are accepted should rest with the O&M Unit of the Ministry. Until implementation has been completed, this unit should be headed by a whole-time under secretary who can not only work out all the details involved but will also be continuously available to help in solving difficulties in the course of implementation.
- (2) In view of the close association of the Department of Administrative Reforms in the evolution of the recommendations made in this report, it would be useful for the O&M unit to keep in close touch with that Department during the stage of implementation, and to obtain advice from there whenever necessary. The division of that department looking after problems of secretariat reorganisation should consider the successful implementation of this report as a part of its own responsibilities.
- (3) It would be useful if internal arrangements are made in the Ministry to ensure that the O&M unit works directly under the joint secretary who has functioned as Chairman of the Committee of Officers which has produced this report.
- (4) In case the processing of this report for acceptance or otherwise of its recommendations is handled by an empowered committee presided over by the Secretary of the Ministry, it would be useful if that committee were to continue in existence even after it has taken decisions on the recommendations as such, so as to keep an eye on the prompt and correct implementation of what is accepted. For this purpose, after the recommendations have been accepted, the committee could meet at intervals of a fortnight or so to review the pace of implementation.

We are confident that with arrangements on these lines it will be possible to overcome any hurdles or difficulties that may arise in the implementation process.

CHAPTER V

SUMMARY OF RECOMMENDATIONS

DELEGATIONS FROM THE MINISTRY TO THE ATTACHED OFFICE

5.1. Having identified powers and functions in respect of which delegations were possible from the Ministry of Works & Housing to the CPWD, proposals were evolved and divided into two categories, viz., administrative and financial. The delegations recommended are set out and explained in the form of 45 broad sheets at appendix VII.

(Para 4.8).

DELEGATION OF FINANCIAL POWERS FROM THE MINISTRY OF FINANCE TO THE MINISTRY OF WORKS AND HOUSING

5.2. Based on a study of cases referred to the Ministry of Finance by the Works Division of the Ministry of Works & Housing over a period, and taking account of the history of delegation of financial powers, a set of proposals for delegating financial powers from the Ministry of Finance to the Ministry of Works & Housing has been evolved. The delegations recommended are stated and explained in the form of broad sheets at appendix VIII.

(Para 4.12).

PROCEDURAL SIMPLIFICATIONS

5.3. In the procedure prescribed for sanctioning of the building schemes of the various Ministries, the two separate stages of consideration, viz., administrative approval and expenditure

sanction, should be combined into one in which the administrative Ministry will, in consultation with Finance, accord its approval after due scrutiny from administrative and financial angles. Thereafter, a scheme will only need processing for allotting priority at the stage of inclusion in the budget. Internal arrangements may be made in the Ministry of Finance under which schemes costing not more than Rs. 5 lakhs are advised on by the associated Finance of the Ministry concerned, schemes costing more than that only being referred to Works Division of the Ministry of Finance. The cost limit for referring schemes to the Expenditure Finance Committee may be raised to Rs. 25 lakhs. The various steps of the new procedure are outlined in appendix IX(B).

(Para 4.18).

5.4. The time taken in scrutinising preliminary estimates could be significantly reduced if comprehensive information is given by the CPWD along with the estimates. A check list of information points should be drawn up by the Works Division in consultation with the Works Division of the Ministry of Finance and the CPWD taking account of the comprehensive range of queries usually raised in the absence of full details.

(Para 4.19).

5.5. Although the scrutiny of proposals relating to additions and alterations is of a routine character and the work is largely repetitive, a separate file is opened for each proposal. Each proposal for addition or alteration should be made on a form, giving all the information regarding various considerations involved and providing a standardised drill for its processing as in appendix X.

(Para 4.21).

SINGLE FILE SYSTEM

5.6. Duplicate files in the recipient office should be eliminated and so should duplicate consideration at office level as far as possible by introducing the single file system. The existing items of work handled in the Works Division should be divided into three lists:

List I—Items of work to be covered by the delegations recommended, and thus to be excluded from the Ministry's purview.

List II—Items of work which would continue to be handled in the Ministry, but on the files of the CPWD under the single file system.

List III—Items of work which would continue to be handled in the Ministry on its own files.

The compilation of List I will follow what is decided about delegations. Specific proposals for items to be included in List III are set out at appendices XI(a) and XI(b). With the Lists I and III settled, the remaining items should form List II and be handled on the single file system. A drill for operating the single file system is at appendix XII.

(Paras 4.25 and 4.27).

FILING SYSTEM

5.7. To ensure successful functioning of an officer-oriented pattern, the filing system should be so simple that files both current and recorded can be picked out without difficulty even when the dealing officer or his personal staff is not available. For this a scientific filing system is necessary which eliminates the disadvantages of the present system. Equally important is the storage of records. The filing and storage system recommended is at appendix XIV. A standard file index recommended for the files to be maintained by the Works Division is given at appendix XIII.

The stenotypist attached to the dealing officer should be in charge of all current files. These and recorded files which are not more than 3 years old should be stored in filing cabinets or filing almirahs kept as near the basic dealing offices as possible. Files over three years old should be maintained in the record room.

(Paras 4.31 and 4.32).

STRUCTURAL REORGANISATION

5.8. With non-essential work cleared out through delegations, and with various procedural simplifications including the single file system introduced, the Works Division should be

reorganised according to an officer-oriented basis. This will mean changes in the staffing pattern as below:—

	Present	Proposed
Deputy Secretary	2	2
Under Secretary	2	..
Section Officer	4	..
Principal	4 plus 2 (short-term)
Asstt. Principal	2
Assistant	20	1
Stenographer	3	2
Stenotypist	6 plus 2 (short-term)
U.D.C. . . .	4	..
L.D.C. . . .	9	4 plus 1 (short-term)
TOTAL	44	21 plus 5 (short-term)

The post of O.S.D. (Work charged Establishment) will continue until his work has been studied.

An organisation chart of the Works Division based on the recommended staffing pattern is given at appendix XVI.

As indicated in appendix XVI, the revised staffing pattern at the bottom level will be manned by new functionaries styled principals and assistant principals. In this arrangement, it would not be the case that an assistant principal channelises his work to a principal or that an under secretary channelises his work to a deputy secretary. While there may be two scales of pay in the bottom level and also two in the middle level, the flow of work will not be governed by the number of scales of pay but would go from one level of consideration as such to another.

(Paras 4.39 & 4.45).

5.9. For the present, *ad hoc* arrangements for securing the right type of staff as principals and assistant principals will be necessary:—

- (i) The basic pay scales of principals and assistant principals may be identical with those of section officer and assistant, but in recognition of their additional responsibilities, they may draw special pay of Rs. 125 and Rs. 75 p.m. respectively.
- (ii) Personnel to be posted as principals and assistant principals should be hand-picked through a process in which merit and suitability play the major role.

(Para 4.44).

5.10. The duties of stenotypist attached to officers should be enlarged beyond merely shorthand and typing and should additionally include :—

- (a) opening of files with the help of file index and under the guidance of dealing officers;
- (b) maintenance of current files and internal movement diary and collection of relevant papers;
- (c) routine liaison work.

(Para 4·36).

5.11. A “registry” with an assistant in charge should be set up to handle work relating to receipt and despatch, typing, preservation of non-current files, watching external movement of files outside the Ministry and maintenance of some necessary registers.

(Para 4·36).



IMPLEMENTATION

5.12. To ensure that the change over from the present to the new system is as smooth as possible and not unnecessarily long drawn out, careful planning will be necessary. An implementation organisation on the following lines may be set up :—

- (i) The responsibility for processing the report for acceptance or otherwise of its recommendations as well as for over-seeing the implementation of the recommendations that are accepted should rest with the O & M Unit of the Ministry headed by a whole-time under secretary who can not only work out all the details involved but will also be continuously available to help in solving difficulties in the course of implementation.
- (ii) It would be useful for the O & M Unit to keep in close touch with the Department of Administrative Reforms during the stage of implementation.
- (iii) It would be useful if internal arrangements are made in the Ministry to ensure that the O & M Unit works directly under the joint secretary who has functioned

as Chairman of the Committee of Officers which has produced this report.

- (iv) In case the processing of the recommendations is handled by an empowered committee presided over by the Secretary of the Ministry of Works & Housing, it would be useful if that committee were to continue functioning even after it has taken decisions on the recommendations as such so as to keep an eye on the prompt and correct implementation of what is accepted.

(Paras 4.50 and 4.52).

5.13. Some of the consequential tasks that will arise out of acceptance of the recommendations are listed in Para 4.51.



C. P. GUPTA—*Chairman*

T. N. BAHTEL—*Member* सत्यमेव जयते N. K. MUKARJI—*Member*

K. C. JOSHI—*Member*

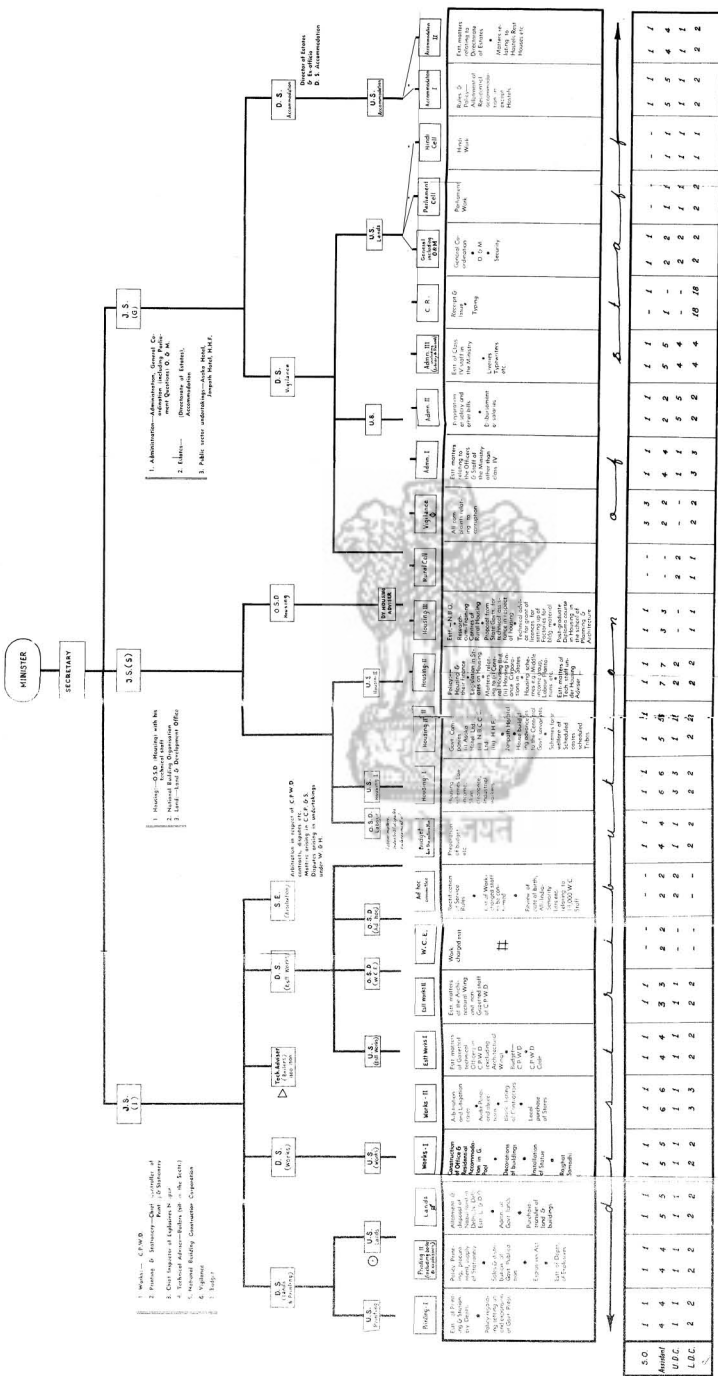
G. P. SHAHANI—*Member*

P. K. SEN—*Member*

S. CHAUDHURI—*Member*






R. M. AGARWAL—*Member*

K. N. ZUTSHI—*Member*



Figures in left col. shows **nominal strength**
Figures in right col shows **actual strength**

LEGEND

	This part of the work is submitted by D.S. (L.P.): no J.S.S.
	U.S. leads, submits costs in respect of Lands sections to D.S. (L.P.) and in respect of General Finance, Finance of Rural Cells to S.S. (Vigilante)
	Technical Assistance (Refers) results: D.S. (L.P.) in respect of assets mentioned above; he submits cases under to J.S. (this is)
	This part of work is submitted by S.S. (Vigilante) to J.S. (this is)
	This part of work goes to D.S. through S.S. (this is)

Prepared by	J. H. K. 1235 10. 11. 1965
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DEPARTMENT OF ADMINISTRATIVE REFORMS
Ministry of Home Affairs

APPENDIX II

(Para 2'4)

STATEMENT SHOWING THE DISTRIBUTION OF WORK AMONG THE OFFICERS IN THE MINISTRY OF WORKS & HOUSING
(As on 23-7-1965).

Sl. No.	Section	Section Officer	Under Secretary	Deputy Secretary	Joint Secretary	Secretary	
1	H-I (Urban Housing Scheme)	S.O. (H-I)	U.S.(H-I)	}	}	}	
2	H-III (N.B.O. & Enterprises)	S.O. (H-III)	} U.S.(H-II)				
3	H-II(Rural Housing and General Policy)	S.O. (H-II)					
4	H-IV (House Building Loans & Schemes)	S.O. (H-IV)					
5	A. V. (Vigilance)	3 S.Os.	—	D.S.(V.)	}	}	
6	P-I (Estr. P & S Deptt., Policy reg. Printing, Construction Works)	S.O. (P-I)	} U.S.(P.)	D.S.(L.P.)			
7	P-II (Supply of Stationery, Boilers, Estr. Explosives Department)	S.O. (P-II)					
8	General (Coordination)	S.O. (General)	U.S.(L.)	}	}	}	
9	Work Study O & M Unit	Junior Analyst	U.S.(W.S.)				
10	Adm. I (Estr. other than Class IV cadre matters & L & D O's Estr.)	S.O. (Adm. I)	U.S.(A.)				
11	Adm. II (Cash)	S.O. (Adm. II)	}	}	}	}	
12	Adm. III (Advances, allowances etc. and Estr. of Class IV, furniture, stationery, telephone & staff car)	S.O. (Adm. III)					U.S.(A.)
13	C. R. (Receipt/Despatch of dak and typewriting)	S.O. (C.R.)					
14	Acc. I (Residential Accommodation)	S.O. (Acc. I)	}	}	}	}	
15	Acc. II (Estr. Estates), (Furniture, cooling arrangements and Office Accommodation)	S.O. (Acc. II)					
16	EW. I (Estr. CPWD Gazetted)	S.O. (E.W. I)	}	}	}	}	
17	EW. II (Estr. CPWD Non-Gazetted and Work charged establishment)	S.O. (E.W. II)					
18	Budget (Budget & Estr. P&AO)	S.O. (Budget)	..	}	}	}	
19	W. I (Works reg. office & residential bldgs. in the General Pool)	S.O. (W. I)	} U.S.(W.)				
20	W. II (Works—other Ministries. Horticulture operations, contract	S.O. (W. II)					

APPENDIX III

(Paras 3.3 & 3.7).

NOTE ON PILOT SECTIONS AND SOME OTHER EXPERIMENTS IN OFFICER-ORIENTATION AT THE CENTRE AND IN THE STATES

At the Centre

In 1956, an experiment aimed at moving away from the conventional staffing pattern of the secretariat was tried by the introduction of the Pilot Section Scheme. Broadly speaking, a pilot section consisted of 3 section officers, 3 upper division clerks and 3 lower division clerks, one or two of the latter being steno-typists. It was visualised that noting would be initiated in every case by the section officer who would also be empowered to exercise some responsibility at his own level and dispose of simple cases finally. Level-jumping was also to be introduced in an appropriate manner. The scheme was tried out in most Ministries and in a total of as many as 94 sections.

2. The main features of the Pilot Section Scheme were that noting at the level of assistants and upper division clerks would be eliminated and would be replaced by first handling at the level of section officers. The idea was that this would not only reduce one level of handling but also ensure that an officer's mind was brought to bear on a receipt from the very first stage. With the provision that section officers would have powers of disposal within certain limits and the provision of stenographic assistance for them, it was sought to be ensured that a fair amount of work would be disposed of at this very level.

3. The scheme was subjected to several reviews and each time the tenure of the experiment was extended, presumably for a further period of trial. The first review took place in 1957-58, when data was obtained from the O & M units of the Ministries along with the views of secretaries. Representatives

of the Ministries of Finance and of the O & M Division jointly considered the statistics collected and the views given by the Ministries and also conducted sample investigations. Their general conclusion was that the quality of work had improved and that the results were satisfactory particularly where the personnel had been selected with care. Results were not satisfactory in some sections where the nature of work was not suitable for the experiment or where the volume had registered an abnormal increase. The joint report was circulated for the comments of the Ministries. The majority of the Ministries sent their views and according to most of them pilot sections had improved the quality and speed of work. Some Ministries, however, found the scheme not suitable to their needs.

4. This review was followed by sample studies of 11 sections in six Ministries. The studies again showed that there had been uniform and considerable improvement in the quality of work done and that generally the disposal was also speedier.

5. Towards the end of 1959, a study group set up to review the working of the entire O & M drive also went into the working of the Pilot Section Scheme.

The views of the group were as below :—

- (1) Compared with the conventional sections, the new type sections showed better quality of performance and greater speed;
- (2) As section officers were freed from routine coordination and supervision of assistants' work and had more time for original thinking and creative work, the system proved a suitable field for the conscious development of section officer for exercising greater responsibility at the next higher level;
- (3) The new type section could not be considered suitable for every type of work. It was most suitable for work which was not routinised or which involved difficulties, issues or problems of a wide variety or which related to the execution of projects requiring prompt and efficient attention or for work of a specialised nature requiring deliberate and thorough attention by experienced staff at the very first stage of examination.

The study group accordingly recommended that the new type of section should be accepted as a recognised structural unit for suitable kind of work. It went on to suggest that there should be flexibility in the composition of the new type sections, i.e. the number of section officers may vary from 2 to 4, and each section may be given one or two assistants. The group also recommended that upper division clerks should be replaced by steno-typists. The then Director O & M agreed broadly with the group's views, but stressed the need for having more than one pattern of staff structure for secretariat sections.

6. Still another review took place in 1961 in which the general criterion given to the study staff was that sections generating more than 30% receipts of a routine character should not be considered fit for the Pilot Section Scheme and should be "de-pilotised". The studies extended to 32 out of 64 sections. On the results obtained the then Director O & M recommended the discontinuance of the whole scheme for the following reasons :—

- (i) The proportion of receipts suitable for initial action at the section officers level did not generally exceed 35%, the lowest being as low as 1%.
- (ii) The contribution made by the section officers was not such as was beyond the capacity of an average assistant.
- (iii) Section officers were not in a position to dispose of finally a large part of really important receipts, the percentage of disposals being high only where there was a high percentage of routine work.
- (iv) The apparent speed of disposal was attributable to the comparatively high percentage of routine items of work in some of the pilot sections.
- (v) In view of the high percentage of routine items, higher grade personnel were handling work of low intrinsic value which could be handled by assistants or even by upper division clerks.
- (vi) The dearth of good quality assistants which had originally led to the formulation of the Pilot Section Scheme had been made good through direct recruitment of assistants.

Upon this recommendation, the Committee on Administration decided to wind up pilot sections altogether.

7. However, the Ministry of Defence strongly resisted the decision and obtained the concurrence of the Committee on Administration to the continuance/creation of 8 pilot sections. The scheme was modified in that Ministry slightly in that the pilot sections there consisted of 3 section officers assisted by 3 steno-typists, 1 assistant for coordination and management of records and to serve as a leave reserve and 1 lower division clerk. The pilot section in this form costs a little less than the normal pilot section, and the modified scheme is still in existence in the Defence Ministry.

8. Besides the pilot section other attempts have also been made at introducing officer-oriented systems. Thus, for instance, the Ministry of External Affairs and the Department of Tourism have tried systems suitable for their organisations. The Ministry of External Affairs have reorganised their Territorial Divisions. In the pattern evolved by them, in each normal division having about 5,000 receipts per annum, the deputy secretary is assisted by three officers of the rank of under secretary or attache, (An attache is a section officer who gets a special pay of Rs. 75—100.) All work is handled initially at the level of under secretary or attache, except for some very confidential or very complicated work, which may even be handled initially at higher levels. The under secretary or the attache has a stenographer/steno-typist to himself and is also helped by an assistant who does miscellaneous work, e.g. preparation of statements, referencing of files, etc. Each division has a divisional registry, which is under a registrar of the rank of a section officer and is assisted by an assistant archivist of the rank of an assistant and three lower division clerks who attend to diarising, typing, despatch to the central registry and other routine work. A divisional registry is normally supposed to handle 15000 receipts per annum. Under instructions, level-jumping is also to be practised. The reorganised pattern was introduced in March 1962 in the Ministry of External Affairs and has now been extended to all the territorial divisions except a part of the Northern Division. The Ministry of External Affairs have been satisfied with this system.

9. The Department of Tourism, in consultation with the O & M Division, adopted from its very start a system in which work is first handled by an officer of the grade of assistant director who is given a stenographer. This Department too is satisfied with this system.

10. Similarly, the Department of Iron & Steel have tried out a different staffing pattern in four of their Projects sections, viz. Bhilai, Durgapur, Alloy & Special Steels and Raw Materials. This type of section is staffed by one section officer, one assistant and one lower division clerk. The section officer is expected to deal with cases himself *ab initio* and functions as a junior officer doing original work. The assistant 'assists' him in the matter of putting up and referencing cases, preparing statements, etc., while the lower division clerk performs purely routine duties like diarising, keeping movement of papers, etc.

11. The following are other instances where a departure from the conventional type of section has been made :

Ministry of Education.—The conventional UNESCO section in the Ministry has been bifurcated into 2 special type sections, viz. UNESCO section and INC section with effect from 15th June, 1962. These are officer-oriented sections and are manned by one section officer, one education officer along with a small complement of staff. The noting is mostly done at the level of section officer or the education officer, the assistants provided to the sections merely 'assisting' the officers in quick disposal of their work.

D.G.P.&T.—This Department considered that the pattern of staffing of its 'Discipline' section, which was working as a pilot section, had proved useful.

Two more sections, dealing with complaints and investigations, have been reorganised and their staff strength reduced from 20 hands to 12. The reorganised sections work under the direct control of the branch officers who have requisite field experience and who do the bulk of the case work themselves. These sections have neither assistants nor section officers. All the dak is seen by the branch officer, who indicates whether receipts should be filed, put up on the existing file, sent to a subordinate unit or whether a report should be called for from specified subordinate offices. The upper division clerks carry out the orders of the branch officer. They put up letters, on which the word 'papers' appears, to the branch officer without any note. All the notings are done by the branch officer himself.

Office of the Commissioner for Scheduled Castes & Tribes.—In February, 1964, Development I and Development

II sections and a part of Research section were merged into one section, called 'Development' section, on the lines of the pilot section. The reorganised section is manned by three section officers, each of whom is assisted by an upper division clerk. The three section officers are also provided with two steno-typists. Noting and drafting is done by the section officers themselves.

In the States

12. *In the Punjab Government*, in the Civil Supplies Department, posts of 'secretariat officers' (later re-designated as Higher Grade Assistants) in the pay scale of Rs. 300—20—500 were created in 1948. Incumbents were selected on the results of a departmental test given to selected assistants. All work was dealt with initially by 'secretariat officers', who submitted cases direct to higher officers. The system proved successful and some time later was extended to a limited extent to the Punjab Civil Secretariat. It was given up as a result of large scale retrenchment in the Civil Supplies Department consequent on the lifting of controls. Thereafter in 1960, a somewhat different system was tried in the Punjab Civil Secretariat. In this an assistant section officer in the scale of Rs. 250—450 replaced two assistants in the scale Rs. 150—300. Thus, in a normal section six assistants were replaced by three assistant section officers, each of whom was assisted by a junior scale stenographer. Posts of record keepers (there were three in a section) were also abolished. The section continued to have one diarist and one recorder and continued to be supervised by a section officer. The selection of assistant section officer was made on the basis of a competitive examination restricted to assistants. The system was tried out initially in four sections and has been found to be a success. It has been decided by the Punjab Government to continue it on a permanent basis and to extend it gradually to cover 50% sections in the Civil Secretariat. The system has also been recommended for adoption to heads of different departments and with some modifications has been introduced in the Directorate of Industries.

13. *In Mysore*, on the recommendation of Shri A. D. Gorewala, an 'officer-oriented' pattern of organisation was introduced in 11 sections of the General Administration Department and the Revenue Department in 1958-59. Under

the reorganised set-up, the under secretary as head of the branch had the assistance of two stenographers, 4 assistants and 1 typist as against $\frac{1}{2}$ stenographer and 2 fulfilled sections, each consisting of 1 superintendent, 5 assistants, 3 junior assistants and 2 typists. He was expected to dictate all his notes and drafts with the help of his stenographer. One of the 4 assistants was incharge of the diary and despatch while the remaining 3 assistants were to work as "case workers". The duties of the "case workers" comprised essentially, maintenance of the file register, issuing reminders, filing, docketing, referencing and putting up papers along with precedents to the under secretary. In the new system, disposal of work was speeded up and repetitive noting and elaborate recapitulation of the facts of the case, avoided. After six months, an industrial consultant was invited to study the new system. He testified that the new procedure had resulted in the reduction of the time of disposal of cases by as much as 40-50%, and that the improvement in the noting methods and reduction in file movement had led to a reduction in the workloads. The only criticism offered was that the memory of the section was not conserved. When an under secretary was transferred or went on leave, the continuity of the section's work suffered. The assistants in the section could not help as they had not been dealing with cases as in the old system. The assistants did not derive any job-satisfaction as they merely became routine hands like 'robots'. The Government's view was that while the speed and quality of work had improved, the scheme was marred by certain defects, e.g. lack of incentive for assistants, loss of the memory of the section caused by the absence of the under secretary, fatigue caused to the under secretary by his being required to do several odd jobs which could as well be done by an assistant.

Ultimately, the entire question was reviewed and it was decided that an under secretary should be placed incharge of 2 'compact' sections of reduced size, each consisting of 1 superintendent, 1 senior assistant, 2 assistants, 1 junior assistant, 1 typist and 1 class IV staff. The additional cost involved in the increase of the number of superintendents and senior assistants in the 'compact' section is almost neutralised by the economy achieved through reduction in the number of assistants, junior assistants, typists and class IV staff.

14. In Maharashtra, "Pilot" branches were set up in the various departments of the State Secretariat during 1957-60

with the object of improving quality and speed of work. Under the new pattern, the branch consisted of 1 superintendent, 2 assistant superintendents and 2 general duty clerks as against 1 superintendent, 2 senior assistants, 2 junior assistants and 2-3 general duty clerks. The assistant superintendents were selected from amongst senior or junior assistants and were given a special pay of Rs. 30 p.m. Powers which previously vested in the superintendent were delegated to the new functionary, viz. assistant superintendent. These branches were discontinued with effect from 1st August, 1960 "as it was found after a detailed review of their working that the system could not be extended on a general scale to all branches in the Department". However, some of the essential features of the 'Pilot' branches, e.g. minimum noting submission of cases with draft replies, personal discussion with branch officers, extension of powers of superintendent to one of the assistants in the branch, have been adopted in all secretariat departments.

Recently, experiments in the direction of an 'officer-oriented' system were tried in two departments, viz. the General Administrative Department and the Finance Department. The one in the former has been discontinued while the other is still in operation. The 'Pilot' branch in the Finance Department comprises an assistant/under secretary (designated as pilot officer) and a clerk instead of the normal complement of office staff consisting of one superintendent, 2 senior assistants, 2 junior assistants and 2 general duty clerks. All cases involving references to the Finance Department are marked to the pilot officer by name. He deals with the cases as far as possible directly at his level with the assistance of his stenotypist and clerk. If any reference is required to be dealt with by any one of the special branches in the Finance Department such as branches dealing with T.A., Pension, Budget, etc., he refers the case to the officer in charge of the specialised branch. This arrangement has been introduced on an experimental basis; it has resulted in improvement both in quality and speed of disposal. It has also resulted in the saving of Rs. 24,000 per annum. The only defect in the scheme is that it does not make any provision for a succession of trained hands for shouldering the responsibility of the pilot officer in his absence. As a new staffing pattern for the secretariat as a whole is currently under consideration, the 'Pilot' scheme, although found successful on the whole, has not been extended further.

APPENDIX IV

(Para 3.4)

TYPES OF SECRETARIAT ORGANISATIONS DEVELOPED TO HANDLE WORK FROM ATTACHED OFFICES

1. The normal pattern of organisational relationship followed at the Centre is that a Ministry and each of its attached offices has its own separate office. Correspondence between a Ministry and its attached office is normally carried on through self-contained communications. It is only rarely that a Ministry refers its files to its attached office and *vice versa*. When this happens, the organisation receiving the file keeps copies of the relevant notes on its file. Thus, practically every case which requires consideration both in the Ministry and an attached office is subjected to duplicate handling at the 'office' level and at each place the routine processes of receipt, registration, typing, comparison and despatch have to be gone through. This necessarily involves avoidable duplication of office staff and consequent waste of man-power and money, apart from considerable delay in the disposal of cases.

2 A number of suggestions have been made and instructions issued in the past to mitigate the adverse effect of having a full-scale secretariat 'office' with duplicate files and staff, but with no tangible results. For instance, time and again it has been stressed that the heads of executive departments should be enabled to function with reasonable freedom and initiative and a clear line of responsibility drawn between the secretariat and the offices attached and subordinate to it. Again, the Manual of Office Procedure enjoins that officers in the secretariat departments and those in attached offices should maintain close personal contact between themselves in order to ensure that every important proposal or scheme is formulated after joint consultation and discussion at the lowest appropriate level and that when proposals so formulated are received in the administrative ministry/department, they should ordinarily be dealt with by the branch officer or the deputy secretary himself and should *not* be subjected to a detailed examination at lower levels as a matter of course.

3. While the normal pattern of organisational relationship between the Central Ministries and their attached offices has

broadly been described above, certain Ministries have developed their own types of secretariat organisation to handle work received from their attached offices in such a way as to minimise, if not eliminate altogether, the defects of the conventional arrangement.

4. The following are the main types of secretariat organisation in the Central Ministries for handling work received from their attached offices:—

Type "A".—Both the Ministry and the executive department have distinct and separate offices and files of their own. Consultation between them takes place through self-contained communications.

Type "B".—The Ministry and executive department have separate 'offices' and separate files but the head of the executive department is brought in closer contact with the Ministry's 'office' by investing him with the appropriate *ex officio* secretariat status.

Type "C".—The Ministry and the executive department have separate 'offices' but common files and a single file bureau or records cell located in the organisation of the executive department.

Type "D".—The Ministry and the executive department have common office, common files and a common file bureau, all under the direct control of the head of the executive department.

Type "E".—The office of the head of the executive department is concurrently held by a senior officer of the Ministry, so that he is responsible for both the formulation of the policy and its execution with the assistance of 'office' located in the Ministry.

Type "F".—Special cases where cent per cent merger has been brought about between Ministries and Heads of executive departments.

5. All the types mentioned above have their merits as well as drawbacks. These are discussed below :—

- (i) *Type "A".*—This is the commonly adopted pattern at the Centre and in most of the States. Under this system the 'staff' and the 'line' functions are completely kept separate, the Ministry confining its

function to the formulation and review of policy, and the executive departments concentrating on the implementation and supervision of the settled policy. The office of the chief engineer, CPWD, in relation to the Ministry of Works & Housing, and the Directorate General of All India Radio in relation to the Ministry of Information & Broadcasting are examples of this type of organisation.

This system ensures application of *broader* scrutiny of policy proposals and their setting in the national and international field, which is required from the point of view of Government as a whole and which can seldom satisfactorily be obtained from the expert or enthusiast in a particular field. It also enables the secretariat department to concentrate on policy formulation and the heads of executive departments to look after its implementation more effectively.

As against the above advantages, the system suffers from the following drawbacks:—

- (a) The proposal is required to be processed twice in two different offices. It is first formulated by the head of department and then sent to the Ministry for scrutiny and sanction.
- (b) In many cases even the 'examination' in the secretariat starts *ab initio* at the lowest level, viz., noting assistant. Since this category of employee has limited perspective and experience, their comments often tend to confuse the issues or to lead to unnecessary queries. Generally, this rather uninformed office note sets the tone for secretariat officers, who tend to depend more on the comments of their 'office' in coming to the conclusion than to examine the proposal independently.
- (c) The 'detached view' taken by the secretariat which is claimed as a merit sometimes acts as a handicap. Practical and field aspects of the proposal, which are known only to the head of the executive department and which would have been taken into consideration in formulating the proposals, are sometimes not fully appreciated in the secretariat. This may result in unrealistic decisions

and consequent frequent revision of the policy decisions.

- (ii) *Type "B".*—Under this system, the 'office' of the executive department and the Ministry are kept distinct but the executive head is invested with appropriate secretariat status. This system is a half-way house between complete separation of the two types of offices (*i.e.* type "A" organisation) and their complete fusion under types "D" and "E". The Textile Commissioner, who is also *ex officio* Joint Secretary to the Government of India in the Ministry of Commerce, is an instance in point.

The following are the main advantages in this system:—

- (a) The head of the department is more closely associated with the formulation of the policy and his field knowledge is more freely available to the Ministry at various stages of policy formulation and review.
- (b) The head of the executive department can take certain actions and decisions on behalf of Government without involving the Ministry, thereby reducing paper work in the secretariat. This arrangement is particularly useful where the head of the executive department and the administrative ministry are located at different stations, as in the case of the Textile Commissioner and the Commerce Ministry.
- (c) It leads to better implementation of policy inasmuch as the head of the executive department in his capacity as a secretariat officer is fully aware of the background in which the policy is framed.

The main drawback of the system is that such an arrangement tends to blur the clear-cut delimitation of functions of policy-making and execution. Unless the executive head and the related portion of the Ministry have a common 'office' also, policy decisions under this system having been taken in two different places are likely to result in lack of coordination.

- (iii) *Type "C".*—Under this system, the 'office' of the Ministry and the head of the executive department are kept separate but files are common. The file bureau or the records cell is located in the headquarters office of the executive head. The executive department submits proposals on its own files and refers the papers complete in all respects, *i.e.* with other records containing relevant proceedings to the Ministry. After the proposal is disposed of by the Ministry, the file is returned to the executive head. Thus the Ministry has practically no files of its own except a select few in which noting is done exclusively by the secretariat, *e.g.*, personal cases of the head of the executive department.

A similar arrangement was also recommended by the Rowland Committee in the following terms:—

“(a) Duplicate noting in the Ministry and the Department should be abolished. In particular—

- (i) The practice of communicating proposals from the Department to Ministry by letter should cease.
 - (ii) All matters requiring both departmental and ministerial consideration should be dealt with in special files.
 - (iii) Proposals from the Department should be as comprehensive as possible.
 - (iv) The Head of the Department should send the special file with his proposals to the Ministry where it should be dealt with initially by an officer who should indicate the action to be taken if he is unable to pass final orders immediately.
- (b) The Reference Section should be given greater importance; it should be better staffed and regarded as a stepping stone to promotion.”

The main advantage of this system is that the dealing officers in the Ministry can see all the relevant papers and thereby appreciate the principles underlying the proposals better. Also, occasions for making queries or requests for supplementary information are reduced, if not avoided altogether. One drawback in the system is that the files referred to the

Ministry may not contain self-contained notes bringing out clearly at one place the salient features of the proposals and the precise points on which Government orders are sought. In this event, the work of the officers of the Ministry becomes difficult as they have to wade through the whole or a major portion of the file to understand the proposal made. This can cause delays and also affect quality. But the main disadvantage of the system is that separate 'offices' with duplicate staff and double scrutiny of the proposals, which are the main drawbacks in the conventional system (*viz.* type 'A'), continue. This is exemplified in the arrangement of the Ministry of Defence where regular sections exist for examining cases emanating from the A.F.H.Q. and various Directorates.

- (iv) *Type "D"*—Under this system the Ministry's 'office' is merged into the headquarters organisation of the head of executive department. The common 'office' serves the officers of the secretariat as well as those of the executive department; there is only one file bureau and all references including precedents, whether required by the head of the department or by the secretariat officers, are put up by the same dealing hand. If a secretariat officer wants a case to be put up, he has this done by the dealing person concerned. At the secretariat level, practically all noting is done by officers at appropriate level with the assistance of stenographers only and no other exclusive office assistants. The physical proximity of the Ministry and the related head of the executive department is an essential pre-requisite for the successful working of this system.

Among the States, such an arrangement is understood to be working satisfactorily in Bihar. In other States, this arrangement exists in special cases only.

At the Centre, an example of this arrangement is the Directorate General of Posts & Telegraphs before the constitution of the P&T Board.

The following are the chief merits of the above system:—

- (a) the proposal is scrutinised only once, keeping in view both the practical and policy considerations.

This naturally makes for greater expedition in the disposal of cases and better relations between Ministries and heads of Departments.

- (b) there is one file bureau and all references including precedents whether required by the Head of Department or by the secretariat officer are put up by the same dealing hand and section officer.
- (c) at the secretariat level, all noting is done by officers at appropriate level who have no exclusive 'office' staff apart from stenographers or stenotypists.
- (d) as a result of (a), (b) and (c) above, there is substantial economy in expenditure and also saving of time.

The Commission of Enquiry on Emoluments and Conditions of Service of Central Government Employees (1959) supported the above arrangement and recommended that the feasibility of introducing it may be examined. The Estimates Committee, while commenting upon the relationship between the officers on the secretariat side with those on the technical side in attached offices also made a similar suggestion in their 60th Report.

Government decided to accept the above recommendation and suggested that the Ministries may, in consultation with the O&M Division and the Staff Inspection Unit of the Ministry of Finance, who have been conducting organisational analysis in respect of certain organisations, review the organisational pattern of the existing offices under them and consider what changes are called for in the light of the recommendations of the Estimates Committee and the Pay Commission.

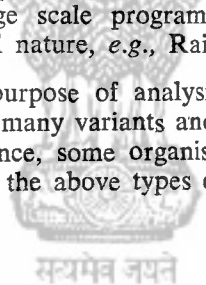
- (v) *Type "E"*—Under this system, a senior officer of the Ministry holds concurrently the office of the executive department with common office and single file bureau located in the Ministry itself under his control. Examples of this arrangement are the Director General of Food (who is also the Additional Secretary to Government in the Department

of Food), the Director General of Employment and Training (who is Joint Secretary to Government in the Ministry of Labour & Employment).

The advantage of the system lies in the fact of total elimination of the distance between the secretariat and the attached office. But this very fact also provides the disadvantage, which is that the system blurs completely the functions of the secretariat and the head of executive department. A comprehensive projection of the system throughout Government could only take place if the view was held that the secretariat as such has no longer a role to play apart from the executive head. The Cabinet which had occasion to consider this matter in 1956, decided that it was risky and undesirable to entrust the duties of the chief of any organisation to any secretariat officer.

- (vi) *Type "F"*—This type of special arrangement appears to be of special advantage for organisations undertaking large scale programme of operational or commercial nature, e.g., Railway Board.

6. While for the purpose of analysis six broad types have been discussed, in fact many variants and combinations of these types exist. For instance, some organisations have characteristics of two or more of the above types of relationship.



APPENDIX V

(Para 3.12)

CENTRAL ORGANISATIONS WHICH HAVE ADOPTED THE 'SINGLE FILE SYSTEM' WHOLLY OR IN PART

A—Groups of organisations which generally work on the single file system

- (i) Department of Communications and Wireless Planning & Coordination.
- (ii) Ministry of Defence and Armed Forces Headquarters.
- (iii) Department of Food and D.G., Food.
- (iv) Ministry of Home Affairs and Director General of Civil Defence.
- (v) Ministry of Transport and Roads Wing.

B—Groups of organisations which work on the single file system to a limited extent.

- (i) The Ministry of Commerce and CCI&E exchange communications on their individual files with respect to selected questions at their discretion.
- (ii) Ministry of Commerce and Directorate of Exhibition. The Directorate is actually a field organisation of the Ministry and its secretariat is staffed by secretariat officers of the Ministry up to the level of deputy secretary.
- (iii) Ministry of Commerce and Textile Commissioner's Office, Bombay—in one direction only, *i.e.*, from the Ministry to the Textile Commissioner's Office.
- (iv) Files of the Directorate General, Employment and Training are put up to the Secretary/Deputy Minister/Minister when the D.G., deals with those files as Joint Secretary of the Ministry of Labour & Employment.

APPENDIX VI

(Para 4.5)

METHOD OF STUDY ADOPTED FOR ANALYSING WORK HANDLED IN THE WORKS DIVISION OF THE MINISTRY OF WORKS & HOUSING

The objectives of the study were as follows:—

- (1) To locate items of work which need not be handled in the secretariat;
- (2) To examine the scope for introducing single file system of working; and
- (3) To examine the possibility of simplifying work procedures.

2. The first problem was to pick out a representative enough sample of files for study from the four sections of the Works Division. In order to avoid dislocation of day-to-day work, it was decided to select the sample from closed files only. Also, it was considered adequate to confine attention to files opened during the calendar year 1963. From the files opened under each of the standard heads in the selected year it was decided to take up every fifth file for study, except where the number of files under a standard head was not large enough where every third file was selected. The basis of selecting the sample was cleared in advance with the section officers concerned. So was the actual list of files selected in the sample. This was considered necessary to avoid any possibility of an unrepresentative selection being made. The total number of files in the sample of the four sections of the division turned out to be 422.

3. For examining each file in the sample, the objectives of the study were first translated into operational terms by the formulation of the following major questions:—

- (1) Which references were such as need not have been made by the office of the CPWD to the secretariat, and what type of cases could be transferred to that office for being handled there without impairing the secretariat's responsibility?

- (2) Which of the references from the office of the CPWD were such as could have come to the secretariat on the CPWD's files and received orders at the appropriate level without the need for scrutiny in the secretariat at the office level or the creation of a parallel file in the secretariat?
- (3) What are the remaining items of work and the nature thereof?
- (4) At what levels of the secretariat should the items of work under (2) and (3) be disposed of?

4. Each file in the sample was then examined, and from the working sheets of the analyst's record, data was collected and recorded in the form at annexure 1. For quick recording of data, the contribution made at various levels was indicated by the following symbols:—

N.C.—If no contribution was made.

S.—If the contribution made was merely 'summary'.

E.—If the proposal was examined thoroughly.

S. Sug.—If some suggestions were given with reference to action to be taken along with the summary.

Ag.—If the proposal was agreed to without any examination.

N. Ag.—If the proposal was not agreed to.

Ret. Clari.—If the proposal was returned for seeking some clarification.

5. On the basis of the contribution made at different levels, all the receipts in the files studied were then categorised as follows:—

- (A) Receipts from the CPWD which need not come to the Ministry.
- (B) Receipts from the CPWD which should be seen or disposed of at the level not lower than that of joint secretary on single file system.
- (C) Receipts from the CPWD which require examination/disposal at the lower level i.e. section officer/under secretary/deputy secretary.

(D) Receipts from organisations other than the CPWD

- (i) Which could go to CPWD direct for disposal;
- (ii) Which should be seen or disposed of at a level not lower than that of joint secretary.
- (iii) Which should be seen or disposed of at deputy secretary/under secretary/section officer level.

6. The results of examining the files in the sample for a particular section were then summarised in the form at annexure 2. Wherever significant, totals of figures reflecting quantified data were expressed in percentages so as to give an idea about the amount of work falling in each category. These section-wise abstracts thus furnish a bird's eye view of the itemised analysis done in each section.

7. The categorisation of receipts into (A), (B), (C) and (D) was done according to the judgment of the particular analyst (equivalent to a section officer) studying a file. However, the judgment was controlled by the following criteria:—

- (a) If proposals from the CPWD relating to a subject were almost invariably agreed to by the Ministry particularly at the level of U.S./D.S. and the file did not show that detailed examination of such proposals was necessary, the inference drawn was that such references could safely be eliminated by delegating necessary functions or powers to the C.E.
- (b) If the proposals were of a character in which decision had to be taken at the level of J.S. and contribution at the level of 'office' was neither possible nor made as a matter of practice, specially on those proposals which had either been seen and approved by the C.E. or signed by him personally, the inference drawn was that such references could conveniently be made on the file of the office of the C.E. and on which itself the decision of the Ministry could be recorded without opening a parallel file in the secretariat.
- (c) If a proposal was initiated by the Ministry or other organisations and was practically examined or evaluated by the office of the C.E. and/or A.C.E. without significant contribution at lower levels of the secretariat, it was considered to be fit for direct

transfer to C.E.'s office for coming up to secretariat for decision on its own file.

8. The results of the study of each section were then put in narrative form in a note for consideration, which also contained concrete proposals in regard to delegations and simplification of procedures. It was on the basis of these notes that specific recommendations were evolved by the Committee of Officers.

9. The study was made through analysts at the operating level. Their work was supervised and guided by a deputy secretary.



APPENDIX VI

(Para 4.5)

ANNEXURE I

The results of examination of each file were recorded as in the following form :

File No.	Subject	From whom received (indicating last level)	Action taken in the Ministry			Reference from C.E. Whether complete/incomplete	Category of receipts 'A', 'B', 'C', or 'D', (Explain categorisation)	Suggestions re : powers to be delegated
			S.O.	U.S.	D.S.			
						J. S. or higher officer		

ANNEXURE 2

The results of examination of the files in the sample drawn for each section were next summarised according to the form below :

Sl. No.	Subject	No. of files opened under the Head	Total No. of files studied in the sample	No. of receipts which have gone upto		Distribution of receipts category-wise (also % to be given)	A	B	C	D			
				Files/	Receipts								
											S.O.	U.S. D.S.	J.S. Secretary/ H.M.
											(a)	(b)	(c)

Key

Categories 'A', 'B', 'C' and 'D' referred to in the above two forms indicate the following :—

'A' cases from CPWD which should not be referred to the Ministry.

'B' cases which should be seen direct by J. S.

'C',

'D'

(i) cases generated in the secretariat

(ii) cases generated in the secretariat

(iii) other organisations or individuals

'(a)' references which should go to CPWD direct for disposal

'(b)' references which should be seen or disposed of at a level not lower than that of J. S.

'(c)' references which should be seen or disposed of at DS/US SO level.

APPENDIX VII

(Para 4'8)

BROADSHEETS OF POWERS PROPOSED TO BE DELEGATED TO THE CHIEF ENGINEER, C.P.W.D.

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2.	Quasi-permanency of staff for whom the Director of Administration, CPWD is the appointing authority.	74
3.	Sanction of leave to officers of Grade I, Grade II and Grade III of the C.S.S. where no substitute is required	75
4.	(i) Deputation of superintending engineers, executive engineers, architects and the officers of the Horticultural Directorate.	76
	(ii) Extension of the Period of Deputation upto two years of officers up to the rank of Executive Engineers	
	(iii) Deputation of Superintending Engineers, Executive Engineers & Architects, for training outside India under recognised scheme	
	(iv) Deputation of A.C.Es., E. Es. and Architects for training or Refresher Course in India	
5.	Grant of leave to additional chief engineers (A.C.Es.), superintending engineers (S.Es.), executive engineers (E.Es.) senior architects and architects when no substitute is required or empanelled officer is available for being provided as substitute.	77
6.	Issue of certificate under F.R. 26(b)(ii) in respect of A.C.Es., S. Es. and E. Es.	78
7.	Issue of notifications regarding promotions/reversions, deaths, etc., regarding Class I officers.	78
8.	Transfers and postings of S.Es. within the Deptt.	79
9.	Permit C.E's. office to provide secretariat assistance to the D.P.C.	80
10.	Re-employment of retired Class II officers.	80
11.	Condonation of break in service and relaxation of age limits for grant of quasi-permanency status in respect of non-gazetted staff.	81
12.	(i) Permission to attend seminars and conferences in India	83
	(ii) Permission to S.Es. and E.Es. to serve on Technical Committees sponsored by the Government	
13.	Nomination of A.C.Es., S.Es., E.Es. and architects for assisting UPSC in selection.	83
14.	Forwarding of applications from S.Es. and E.Es. for jobs outside the Department.	84
15.	Forwarding of applications for allotment of motor vehicles from Government quota.	84
16.	Permission to S.Es., E.Es., to take over/handover charge at places other than the headquarters	85
17.	Extension of the prescribed period of postings of officers at a particular station	85
18.	Scrutiny of Annual Account, Statements of Associations of Government servants.	86
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19. Audit objections and audit inspection reports.	87
20. Authority to approach the Ministry of Law for obtaining advice in arbitration and other similar cases.	88
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Financial Powers

1. Fixation of pay under F.R. 27 of temporary servants on transfer from one post to another	89
2. Grant of advance increments under F.R. 27.	90
3. Issue of declaration under the second proviso to F.R. 30(1) (next below rule) and protection of officiating pay while an officer is holding a post outside the ordinary line of his service.	91
4. Grant of conveyance allowance to AEs, EEs, SEs and ACEs.	92
5. Permission to non-entitled officer to travel by air.	94
6. Issue of sanction under S.R. 116(b) (ii) i.e. drawal of transfer TA in respect of the officer's family who joins him at his new headquarters after six months.	95
7. Extension of the joining time admissible under rules beyond the maximum of 30 days.	95
8. Hiring of typewriters beyond 4 months.	95
9. Waiver of the condition of security deposit in case of officiating cashiers.	96
10. Hot and Cold weather charges.	97
11. Local purchase of stationery.	98
12. Installation of residential telephones.	99
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14. Creation and continuance of Class II gazetted posts	101
15. Authorisation of provisional pay upto 6 months to non-gazetted staff.	101
16. Reappropriation of funds.	102
17. Enhancement of powers of CPWD Officers for local purchase of and repair to mathematical and survey instruments.	103
18. Sanction regarding refund of CGHS contribution	106
19. Recovery of Government dues from Government contribution in workmen's contributory provident fund.	106
20. Test-check by the assistant engineers/exective engineers in respect of Minor Works.	108
21. Regularising non-deposit of earnest money for construction works	109
22. Waiver or reduction of compensation levied by the superintending engineer on contractors for some default.	110
23. Relaxation of para 208 of CPW Account Code regarding measurement of works being recorded in the measurement books in case of petty works and repairs.	110
24. Urgent and emergent work.	111

ADMINISTRATIVE POWERS

1. *Employment Of (a) Dependents Of Deceased Employees Of CPWD, In Relaxation Of The Recruitment Rules And In Consultation With D.G.E.T., (b) Persons As Had Ceased To Be In Service On Grounds Of Their Failure To Resume Duty After Expiry Of Maximum Period Of Extraordinary Leave.*

Introductory.—Prior to October 1958, the powers regarding relaxation of the recruitment procedure in certain deserving cases rested only with the Ministry of Home Affairs. In October, 1958, the Ministry of Home Affairs in their letter No. 71/88/58-CS(C) dated 24th October, 1958 conveyed their decision that proposals involving relaxation of the normal procedure of recruitment through the Employment Exchanges in cases of the type mentioned at (a) and (b) above need *not* be sent to that Ministry and that orders may be passed in the Ministry concerned by the *joint secretary in charge of administration* and if there is no such joint secretary, by the Secretary, subject to the following:—

- (i) In cases falling under category (a) above, relaxation should be granted only in really deserving cases, where the family of a deceased Government employee stands in need of immediate assistance on account of his sudden death, having no other earning member of the family.
- (ii) In cases falling under category (b) above, the mode of recruitment through the Employment Exchange should be dispensed with only if the initial appointment was regular. The re-entry of employees in service will be treated as fresh appointment.

Existing powers of C.E.—Chief Engineer does not enjoy any power.

Proposed powers.—Full powers may be delegated to the chief engineer.

Justification.—Exercise of power to relax the recruitment procedure in the cases mentioned at (a) and (b) is subject to two conditions which are very clearly stated, and there is no ambiguity involved. The chief engineer as Head of the Department can safely be relied upon to exercise this power in a thoroughly responsible manner. Grant of this power will certainly help in reducing the load of routine work in the secretariat that would lead to greater work simplification.

Method/Procedure of delegation.—The power can be delegated to the chief engineer by the administrative Ministry, in consultation with the Ministry of Home Affairs.

2. Quasi Permanency Of Staff For Whom The Director Of Administration, CPWD, Is The Appointing Authority.

Introductory.—The Central Civil Services (Temporary Service) Rules 1949, lay down that, the Ministries and Heads of Departments under them should nominate, under intimation to the Ministry of Home Affairs,

- (a) appointing authorities in respect of each post or grade, who will be responsible for making the necessary preparation and verification of records, etc. of temporary employees for determining their suitability for the issue of declarations of eligibility in quasi-permanent service in specified posts or grades; and
- (b) controlling authorities who will be responsible for ensuring that necessary action in this behalf is taken by the specified authorities under them.

The authorities mentioned in (a) and (b) should, as far as possible, be normally the same as those prescribed under the Central Civil Services (Classification, Control & Appeal) Rules, 1957, as the appointing and appellate authorities in respect of employees in particular posts or grades.

The director of administration in the chief engineer's office is the appointing authority in respect of Class III staff for purpose of quasi-permanency, disciplinary action etc. The chief engineer is the appellate authority for Class III staff in respect of disciplinary cases, but he is not the controlling authority for purpose of quasi-permanency. This power at present rests with the Ministry.

Existing Powers of C.E.—Chief Engineer is not the controlling authority for purpose of declaration of quasi-permanency status.

Proposed Powers.—The chief engineer may be nominated as the controlling authority.

Justification.—(a) The various formalities relating to verification of age, educational qualifications, length of service, etc. in respect of Class III staff of CE's office are completed in the

chief engineer's office. The register of temporary employees is prepared in the C.E.'s Office. After everything has been completed, the cases are formally referred to the administrative Ministry for approval.

(b) According to C.C.S. (Temporary Service) Rules, 1949, the appointing authority and the controlling authority for purpose of quasi-permanency should, as far as possible, normally be the same as those prescribed under the Central Civil Services (C.C.&A) Rules 1957 as appointing and appellate authorities in respect of employees in particular posts or grades. As the chief engineer is the appellate authority in respect of Class III staff of C.E.'s office, he could be declared as the controlling authority for purpose of quasi-permanency.

Method/Procedure of delegation.—The Ministry have to declare the chief engineer as the controlling authority under the C.C.S. (T.S.) Rules 1949, in consultation with the Ministry of Home Affairs.

3. *Sanction Of Leave To Officers Of Grade I, Grade II, & Grade III Of The C.S.S. Where No Substitute Is Required*

Introductory.—Administrative Ministry accords sanction of leave to Officers of Grades I, II and III of the Central Secretariat Service working in the chief engineer's office as it is the competent authority in such cases.

Existing powers of C.E.—Chief Engineer does not enjoy any power at present in this regard.

Proposed powers.—Powers may be delegated to the chief engineer to sanction leave to officers of Grades I, II and III of the Central Secretariat Service where no substitute is required.

Justification.—Applications for leave of C.S.S. (Grades I, II & III) Officers working in the chief engineer's office are first scrutinised in the C.E.'s office and admissibility reports, etc. are obtained. The applications are then forwarded to the Ministry for according sanction of leave. The Ministry also scrutinises the applications and issues sanction. When no substitute is required, a second scrutiny of the application would seem unnecessary. In such cases, in the interest of simplification of work, the power could be delegated to the chief engineer without any risk.

Method/Procedure of delegation.—The administrative Ministry can delegate this power under SR 208 which lays down that, any leave, other than special disability leave, admissible under the Fundamental Rules may be granted to a gazetted government servant by a competent authority.

4. (i) *Deputation Of Superintending Engineers, Executive Engineers, Architects And Officers Of The Horticulture Directorate.*

(ii) *Extension Of The Period Of Deputation Upto Two Years Of Officers Upto The Rank Of Executive Engineers.*

(iii) *Deputation Of Superintending Engineers, Executive Engineers, and Architects For Training Outside India under Recognised Scheme.*

(iv) *Deputation Of ACEs, E.Es. And Architects For Training Or Refresher Course In India.*

Introductory.—The Ministry is the controlling authority of the class I cadre of engineers and architects. They, therefore, deal with all matters relating to Class I Officers including their deputation outside the Department for training.

Extent of the existing powers of C.E.—The chief engineer has no powers to send Class I Officers on deputation.

Proposed powers.—The chief engineer may be delegated powers to—

- (i) depute S.E.s, E.Es. and Architects;
- (ii) extend the period of deputation upto 2 years of officers upto the rank of executive engineer;
- (iii) depute A.C.Es., S.Es., E.Es. and Architects for training or refresher course in India and S.Es. and E.Es. outside India under recognised scheme.

Justification.—The points normally considered before sending an officer on deputation are :—

- (a) Is it necessary?
- (b) How many officers are already on deputation?
- (c) Is efficiency likely to be impaired by deputation of experienced officers ?

The chief engineer is in a position to examine these points. In fact, at present, he does examine the points and make his recommendations to the Ministry. These recommendations are generally accepted and the Ministry issues formal sanction. To avoid unnecessary duplication of work, the power may be delegated to the chief engineer. Where however, the orders of the Minister are necessary, the chief engineer may submit the files direct to the J.S./Minister.

Method/procedure of delegation.—A specific delegation has to be made by the administrative Ministry. An officer of the CPWD should be empowered to authenticate sanction issued in the name of the President.

5. Grant Of Leave To A.C.Es., S.Es., E.Es., Senior Architects And Architects When No Substitute Is Required Or Empanelled Officer Is Available For Being Provided As Substitute.

Introductory.—Under SR 208 any leave, other than special disability leave, admissible under the Fundamental Rules may be granted to a gazetted government servant by a competent authority. The competent authority in this case is the administrative Ministry. Under SR 206, the superintending engineers and executive engineers of the CPWD are empowered to sanction leave, other than special disability leave, to non-gazetted staff, provided that the grant of such leave does not involve the appointment of a substitute for which the sanction of a higher authority is required.

Existing powers of C.E.—Chief Engineer does not enjoy such powers with respect to A.C.Es., S.Es., E.Es., Senior Architects and Architects beyond 30 days.

Proposed powers.—Full powers to grant leave to A.C.Es./S.Es./E.Es., and Architects when no substitute is required or empanelled officer is available for being provided as substitute, may be delegated to the chief engineer.

Justification.—At present proposals for the grant of leave to gazetted staff of the chief engineer's office are processed in his office and then referred to the Ministry for issue of sanction. When no substitute is required or empanelled officer is available for being provided as substitute, the work relating to mere issue

of sanction by the Ministry may be of a formal character. Instead of processing such cases at two places viz. the C.E.'s office and the Ministry of Works & Housing it will save time and labour if these cases are processed only in the C.E.'s office and sanctions are issued by him. No risk seems to be involved in this delegation.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry to the chief engineer under SR 208 in consultation with the Ministry of Finance.

6. Issue Of Certificate Under F.R. 26(b) (ii) In Respect Of A.C.Es., S.Es. And E.Es.

Introductory.—When an officiating government servant proceeds on leave on average pay, it is necessary to certify under F.R.26(b)(ii) that the government servant would have continued to officiate in the post but for proceeding on leave.

Extent of the existing power.—Chief Engineer at present has no power to grant this certificate in respect of Class I Officers.

Proposed power.—The chief engineer should be delegated powers in respect of Class I Officers also.

Justification.—It has elsewhere been suggested, under the administrative powers proposed to be delegated to the C.E., that he should be the competent authority to sanction leave to E.E., S.E. and A.C.E. where no substitute is required or where an empanelled officer is available as a substitute. Since this power is proposed to be delegated to C.E., it is only proper that he should have the connected power, viz., that relating to issue of certificate under FR 26(b)(ii), which appears as a necessary part of the order granting leave.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

7. Issue Of Notifications Regarding Promotions/Reversions, Deaths, Etc. Regarding Class 1 Officers

Introductory.—Under Authentication (Orders and other Instruments) Rules, 1958, notifications relating to promotions/reversions, deaths, etc. regarding Class I Officers can be issued

by the administrative Ministries or by officers specially authorised under the rules to do so.

Existing powers of C.E.—Chief Engineer does not enjoy any powers at present for issue of such notifications.

Proposed powers.—Full powers for issue of notifications relating to promotions/reversions, deaths, etc. regarding Class I Officers may be given to the chief engineer.

Justification.—At present proposals relating to promotions, reversions, etc. regarding Class I Officers of the CPWD are formulated in the chief engineer's Office. These are then forwarded to the Ministry for issue of notifications, etc. If special authorisation is given to the chief engineer under Authentication (Orders and other Instruments) Rules, 1958, as has been done in the case of many other officers, including the Land & Development Officer of the Ministry of Works & Housing processing of such routine cases at two places will be avoided.

Method/procedure of delegation.—Authentication powers have to be given in consultation with the Ministry of Home Affairs.

8. Transfers And Postings Of S.Es. Within The Department.

Introductory.—Under administrative instructions, a superintending engineer holding charge of a Circle has to be transferred to another within the Department on the expiry of the normal period of posting. The Ministry orders postings of S.Es. on the basis of the information supplied by the CPWD.

Existing powers of C.E.—At present, the chief engineer has no powers to transfer superintending engineers. He has powers to transfer the executive engineers and the assistant engineers from one Division or sub-Division to another.

Proposed powers.—Full powers in respect of superintending engineers.

Justification.—The transfers and postings of the superintending engineers are made on the basis of the recommendations of the chief engineer. This work could safely be entrusted to the chief engineer who can make the transfers and postings of S.Es. in accordance with the principles prescribed using his discretion, where necessary.

Method/procedure of delegation.—The administrative Ministry have to issue a letter authorising the chief engineer to transfer and post superintending engineer from one Circle to another Circle.

9. Permit C.E.'s Office To Provide Secretariat Assistance To The D.P.C.

Introductory.—At present, the Ministry provides secretariat assistance to the Departmental Promotion Committee constituted for promotion to and confirmation in Class I posts. The chief engineer is a member of the Committee. The chief architect is also a member of the Committee constituted for promotion to the grades of architects and senior architects.

The work relating to the D.P.C. involves submission of seniority lists and character rolls of the officers to be considered for promotion or confirmation.

Existing position.—The Ministry is at present doing the D.P.C. work relating to Class I posts.

Proposal.—It is proposed to transfer this work from the Ministry to the chief engineer's office.

Justification.—Elsewhere it has been suggested that the chief engineer's Office may be authorised to issue notifications regarding promotions to Class I and Class II cadres.

All work relating to D.P.C. for Class II is carried out by the office of the chief engineer. The seniority lists and character rolls of Class II and Class I officers are also maintained by that office. As such, the work relating to D.P.C. for Class I posts could conveniently be transferred to the chief engineer's Office and it will be in the interest of work simplification.

Method/procedure of delegation.—The administrative Ministry have to issue a letter or an office order.

10. Re-employment Of Retired Class II Officers

Introductory.—Article 520 of the Civil Service Regulations lays down that an officer who is in receipt of a superannuation or retiring pension shall not be re-employed or continue to be employed in service paid from general revenues or from a local fund, except on public grounds. Sanction to re-employment

or extension of the terms of employment may be given by the Government of India in the administrative department concerned, where the pensioner served before retirement in a gazetted appointment directly under the Government of India; and, in other cases by the Local Government under whose administration the pensioner is re-employed, or by any authority subordinate to a local Government to whom the local Government may delegate its powers under this Article in respect of pensioners re-employed in establishments under the control of such authority.

Existing powers of C.E.—Chief Engineer has no power to re-employ retired Class II Officers.

Powers proposed.—Powers to re-employ retired Class II Officers upto a period of 6 months may be delegated to the C.E.

Justification.—At present, proposals for re-employment of retired Class II Officers are formulated and examined in the chief engineer's Office. These are then referred to the administrative Ministry for sanction. Processing of such cases at two places can be avoided by delegating the powers to the chief engineer.

Method/procedure of delegation.—The administrative Ministry have to delegate these powers to the chief engineer in consultation with the Ministries of Home Affairs and Finance.

11. *Condonation Of A Break In Service And Relaxation Of Age Limits For Grant Of Quasi-Permanency Status In Respect Of Non-Gazetted Staff.*

Under the CCS (Temporary Service) Rules 1949, the administrative Ministries can condone the break in service for purposes of quasi-permanency provided that :

- (i) such breaks are caused by circumstances beyond the individual's control;
- (ii) in each individual case the break or breaks shall be condoned only for purpose of quasi-permanency in a post/grade after the last break;
- (iii) an individual in whose case the condonation of break is agreed to shall be eligible for quasi-permanency from a crucial date after the last break so condoned subject to his fulfilling other conditions of eligibility and suitability;

- (iv) the period of break or breaks in each case will be ignored and service rendered before and after the break or breaks will be treated as one spell of service for computing 3 years service for quasi-permanency.

2. Where no general relaxation of age limits has been made in favour of persons holding non-ministerial and technical posts, relaxation of age limits may be made in consultation with the Ministry of Home Affairs.

Extent of existing powers.—The chief engineer has no powers.

Proposed powers.—It is proposed to delegate full powers to the chief engineer to condone break in service. Where for age relaxation, it is necessary to refer cases to the Ministry of Home Affairs, the references may be made direct to that Ministry and not through Ministry of Works & Housing.

Justification.—The principles of condoning the break in service have clearly been laid down by the Ministry of Home Affairs. At present, the cases are examined by the CPWD and only when the conditions are satisfied that references are made to the Ministry in individual cases. The Ministry checks up the facts and issues sanction. As this matter is not a question of policy, the power to condone breaks for purposes of quasi-permanency may be delegated to the chief engineer.

Cases, where age relaxation is necessary, are forwarded to the Ministry of Home Affairs for their decision. It has elsewhere been suggested that the CPWD should be competent to make references direct to the Ministry of Home Affairs and the Ministry of Finance. In this particular case also the CPWD may be authorised to make references direct to the Ministry of Home Affairs.

Method/procedure of delegation.—Specific delegation has to be made by the Ministry of Works & Housing in consultation with the Ministry of Home Affairs.

12. (i) *Permission To Attend Seminars And Conferences In India.*

(ii) *Permission To S.Es. And E.Es. To Serve On Technical Committees Sponsored By The Government.*

Introductory.—The Ministry being the controlling authority of the Class I cadre of engineers and architects are dealing with all matters relating to Class I Officers.

Existing powers of the C.E.—The chief engineer has no powers at present to permit Class I Officers to attend seminars and serve on technical committees sponsored by the Government.

Proposed powers.—Full powers.

Justification.—So far as the Ministry are concerned, this work is mainly of routine nature. Since the chief engineer is in a position to decide whether he can spare his officer to attend seminars/conferences and technical committees, he may be given this power.

Method/procedure of delegation.—The Ministry of Works & Housing have to issue a letter or an office order.

13. *Nomination Of A.C.Es., S.Es., E.Es., And Architects For Assisting UPSC In Selection*

Introductory.—While making selection of technical officers under the Government of India, the U.P.S.C. sends a communication to the technical organisation for nominating a suitable officer to assist them in making selections.

Existing powers of C.E.—The chief engineer has no powers.

Proposed powers.—Full powers to nominate an officer working under him to assist UPSC in making selections.

Justification.—It is the C.E. or the A.C.E. who makes a specific recommendation to the Ministry as to the officer who may be nominated for this purpose. Since the letter from the UPSC is addressed to the Ministry, it is the latter who send a reply after ascertaining the specific recommendation from the chief engineer. This work is mainly routine in character and the Ministry need not concern themselves with such types of work.

Method/procedure of delegation.—The Ministry of Works & Housing have to issue a letter to the UPSC that such communications in future may be sent direct to the CPWD.

14. *Forwarding Of Applications From Superintending Engineers And Executive Engineers For Jobs Outside The Department*

Introductory.—The Ministry being the controlling authority of the Class I cadre of engineers and architects deal with all matters relating to Class I Officers, including forwarding of applications from Class I Officers for jobs outside the department.

Extent of the existing powers of C.E.—The chief engineer has no powers to forward applications from Class I Officers for jobs outside the department.

Proposed powers.—The chief engineer may be delegated full powers to forward applications from S.Es. and E.Es. for jobs outside the department.

Justification.—The chief engineer is in a position to examine whether he can spare an officer from his department without affecting its general efficiency. In fact, he makes a specific recommendation in that respect while sending the applications to the Ministry for onward transmission. To avoid unnecessary work for the Ministry, the powers may be delegated to the chief engineer.

Method/procedure of delegation.—A specific delegation has to be made by the Ministry of Works & Housing.

15. *Forwarding Of Applications For Allotment Of Motor Vehicles From Government Quota*

Introductory.—Applications from Government officers for allotment of motor vehicles from Government quota are to be forwarded to the Department of Industry with the recommendations of the administrative Ministry.

Extent of the existing powers of the C.E.—The chief engineer has no powers.

Proposed powers.—Full powers.

Justification.—The Ministry merely passes on applications to the Department of Industry. Such routine work need not be handled by the Ministry.

Method/procedure of delegation.—The administrative Ministry have to issue a letter authorising the CPWD to forward the applications from officers direct to the Department of Industry for allotment of vehicles from Government quota.

16. *Permission To S.Es., E.Es. To Take Over/Hand Over Charge At Places Other Than The Headquarters*

Introductory.—SR 297 states that if a Government servant is authorised to take over charge of a post at a place other than its headquarters, his joining time shall be calculated from the place at which he takes over charge. The authority competent to permit an officer to take over/hand over charge at a place other than its headquarters is the administrative Ministry.

Existing powers of C.E.—Chief Engineer has no powers in this regard.

Proposed powers.—Full powers may be delegated to the chief engineer to accord permission to S.Es. and E.Es. to take over/hand over charge at places other than the headquarters.

Justification.—The reasons why the officer is required to take over/hand over charge of a post at a place other than its headquarters generally are—

- (a) that, while on duty at a field station away from the headquarters of his post, he may receive orders of transfer and directed to join his new post immediately;
- (b) that when an officer is required immediately to proceed to another station, officer in an adjacent area may be required to take over charge till a substitute releases him.

The proposals have naturally to be formulated and initially processed in the C.E's. Office which alone can judge such cases of operational immediacy. The work relating to these cases in the secretariat is ordinarily routine in character. The delegation of the proposed power does not seem to involve any risk.

Method/procedure of delegation.—The powers have to be delegated under SR 297 by the administrative Ministry in consultation with the Ministry of Finance.

17. *Extension Of The Prescribed Period Of Posting Of Officers At A Particular Station*

Introductory.—Circumstances arise when officers who have completed their tenure in a particular post or station cannot be transferred on account of non-availability of a suitable substitute

at that time or other personal reasons in which transfer involves hardship. To regularise the period beyond the prescribed tenure, the CPWD have to send a note to the Ministry and obtain their approval.

Extent of the existing power of C.E.—The chief engineer has powers upto 6 months.

Proposed powers.—To extend the tenure period up to 1 year.

Justification.—The Ministry need not be concerned with such routine type of work.

Method/procedure of delegation.—The administrative Ministry have to issue a letter or office order.

18. *Scrutiny Of Annual Account, Statements Of Associations Of Government Servants*

Introductory.—Under para 5(e) of the CCS (Recognition of Service Associations) Rules, 1959, every service association shall furnish to the Government annually a list of members and office bearers, an up-to-date copy of the rules and an audited statement of accounts of the service associations. It is to be examined by the Government whether the funds of the service associations consist exclusively of subscriptions from members or grants from the Government. It is also to be ensured that the service associations do not maintain any political fund.

Extent of the existing powers of C.E.—At present the chief engineer does not receive the annual account of associations for scrutiny.

Proposed powers.—It is proposed that the service associations may submit the annual accounts to the chief engineer instead of to the Ministry.

Justification.—At present all the service associations submit their annual accounts to the Ministry. A number of case studies showed that the scrutiny is confined to checking the two questions mentioned above. Such work being of routine nature need not be handled in the secretariat.

Method/procedure of delegation.—A letter to the associations has to be issued by the administrative Ministry that they should, in future, forward the annual accounts to the chief engineer, CPWD. This may be done in consultation with the Ministry of Home Affairs.

19. *Audit Objections And Audit Inspection Reports*

Introductory.—The instructions issued by the Department of Expenditure from time to time on the recommendations of the Public Accounts Committee and at the instance of the Comptroller & Auditor General of India are contained in the Standing Guard File issued by the Deptt. of Expenditure in April 1962. According to the instructions issued on the 29th June, 1953, and the 19th December, 1953, periodical returns are to be sent to the Ministry by the attached and subordinate offices showing the particulars of outstanding objections and the reasons for non-settlements; and these have to be checked up by the Ministry with the returns received half yearly from the Audit. A copy of the half-yearly list of outstanding objections/inspection reports is also to be forwarded to the Financial Adviser of the Ministry.

Existing procedure.—The Ministry receive half-yearly reports from the Audit, which are referred to the CPWD for their comments.

Proposed procedure/justification.—Since irregularities of a serious nature such as defalcation, culpable negligence etc., are to be reported by the A.G. concerned as soon as they are discovered to the Secretary of the Ministry by name, and urgent attention is given by the Secretary to the rectification of the defects and the A.G. is informed by him as quickly as possible of the action taken or proposed to be taken by Government, the Ministry should only be called upon to assist if and when necessary, in the settlement of audit objections between the CPWD and the A.G. concerned, particularly as delays in outstanding objections may be pointed out by the A.G. concerned. At present, the existing procedure unnecessarily creates routine flow of paper work between the A.G. and Ministry and between the Ministry and CPWD, since audit objections are in fact replied to by the CPWD and further original correspondence actually takes place between the A.G. concerned and the office of the CPWD, only copies being forwarded to the Ministry.

Method of amending the procedure.—The proposed procedure is to be recommended for acceptance by the Ministry of Finance, (Department of Expenditure) and the C. & A. G.

20. *Authority To Approach The Ministry Of Law For Obtaining Advice On Arbitration And Other Similar Cases*

Introductory.—The CPWD being an attached office cannot send files direct to other Ministries. Files on which they require advice of the Ministry of Law are, therefore, routed through the Ministry of W. & H.

Existing powers.—Chief Engineer has no powers.

Proposed powers.—The chief engineer may be authorised to send files direct to the Ministry of Law for advice.

Justification.—Elsewhere it has been suggested that the CPWD should be delegated powers to send files direct to the Ministry of Finance and the Ministry of Home Affairs. Following this decision, it would seem necessary to permit the CPWD to send files direct to the Ministry of Law for obtaining advice on arbitration and other similar cases with which they are mainly concerned. At present the Ministry of Works and Housing merely obtains the advice of the Ministry of Law on the basis of the factual information supplied by the CPWD and passes on the advice to the latter.

Method/procedure of delegation.—It is necessary to consult the Ministry of Home Affairs before delegating this power.

21. *References To Other Ministries/Departments Relating To Certain Questions*

Questions.—

1. Relaxation of rules relating to grant of G.P. Fund advances to officers upto the rank of ACE in consultation with Ministry of Finance (C.C.S.P.F. Rules).
2. Power to relax rules to condone lapses on the part of government servants in not conforming to the terms of grant of motor car/scooter advances, e.g., not insuring the vehicles.
3. Permission to retain advances for purpose of purchase of vehicles for more than 2 months (G.F.R. 206).
4. Power to approach the CCP&S direct for declaring subordinate offices of the CPWD as direct demanding offices for obtaining stationery from the Stationery Office.

5. Power to make local purchases of stores not borne on the DGS&D rate/running contract.
6. Power to make local purchase of stores borne on the DGS&D rate/running contract.
7. Power to condone breaks in service for pension.
8. Investigation of arrear claims over 6 years old.
9. Payment of honorarium to CPWD officers beyond the competence of the chief engineer/Ministry of Works & Housing.
10. Routine cases.

Introductory.—The question involved in respect of these items is not delegation of powers, but only a modification of the existing procedure.

Present procedure.—The administrative Ministry does not have powers to relax rules; for example it cannot authorise local purchase of stores exceeding Rs. 5,000 per item. Thus all such references made to the Ministry are simply put up to Ministry of Finance for sanction, and no exercise of discretion is involved on the part of the Ministry.

Proposed procedure.—CPWD should be authorised to make proposals on questions listed above direct to the Ministries.

Justification.—To eliminate unnecessary diversion in case travel, which will expedite decisions as well as reduce avoidable routine load upon the Ministry's concerned sections.

Method/procedure.—It is necessary to consult Ministry of Home Affairs and Ministry of Finance. These Ministries may be requested to concur in the proposal that references made by the CPWD direct to them on the questions listed should not be returned to the CPWD asking them to route the files through its Ministry. Where they need advice of the Ministry of Works and Housing they may refer the files to that Ministry.

FINANCIAL POWERS

1 *Fixation Of Pay Under F.R. 27 Of Temporary Servants On Transfer From One Post To Another*

Introductory.—In their Memo. No. 6(23)EIII/62 dated 22nd June 1962, the Ministry of Finance delegated full powers to the administrative Ministries for fixation of pay of temporary Government servants on transfer from one post to another. The

guiding principles for fixation of pay under FR 27 have clearly been laid down by the Ministry of Finance.

Existing powers of C.E.—The chief engineer does not have any powers to fix pay under FR 27.

Proposed powers.—Full powers to fix the pay of temporary Government servants under FR 27 in accordance with the principles laid down by the Ministry of Finance.

Justification.—Since fixation of pay has to be in accordance with the principles laid down, exercise of discretion is not involved. Where relaxation or interpretation of the rules or of the principles of application is involved, a reference has necessarily to be made to the Ministry of Finance. Since the exercise of powers relates to simple application of principles to verifiable facts of record maintained by the CPWD, the power could safely be delegated to the chief engineer; and this would reduce the burden of formal, non-policy work on the Ministry.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

2. Grant Of Advance Increments Under FR 27

Introductory.—The authority competent to create a post can, under FR 27, grant an officer on his initial appointment a higher initial pay not exceeding five stages/increments in the scale of pay applicable to the post. Until 1950, the chief engineer enjoyed this power in respect of Class III, Class IV and Work-charged staff. It was withdrawn in respect of Class III and Class IV staff in February 1950 and in respect of Work-charged establishment in December 1950.

Existing powers.—The chief engineer has no powers.

Proposed powers.—The chief engineer may be delegated full powers to grant advance increments under FR 27 to Class III, Class IV and Work-charged staff.

Justification.—Where initial appointment is made in consultation with UPSC, initial pay higher than the minimum is fixed on their recommendation.

Many heads of departments enjoy this power. There seem to be no special reasons why the chief engineer who enjoys wide powers in many other respects, should not be relied upon to exercise this power in accordance with the basic requirement that the stage of higher initial pay, where considered justifiable, is to be fixed having regard to the candidate's age, previous experience, qualifications and emoluments last drawn, etc. Consistent with the provisions of FR 27, the C.E. should exercise the power in respect of posts which he is competent to create and to which he or his officers may make initial recruitment, other than through the UPSC. The guiding principles for exercise of this power having been clearly laid down in the Ministry of Finance O.M. No. 10(2)-E.III/55, dated 15th February, 1955 and No. 2(46)-E.III/60, dated 5th August, 1960, there is no reason why the powers withdrawn much earlier in 1950, cannot now be restored to the chief engineer.

Method/Procedure of delegation.—The orders of 1950 withdrawing the powers of the chief engineer may be cancelled by the Ministry of Works & Housing in consultation with the Ministry of Finance.

3. *Issue Of Declarations Under The Second Proviso To FR30(1) (Next Below Rule) And Protection Of Officiating Pay While An Officer Is Holding A Post Outside The Ordinary Line Of His Service.*

Introductory.—The benefit under next below rule can be given to an officer holding a post 'outside the ordinary line of his promotion', if his seniors and the officers next below him are approved and promoted to the higher grade and the officer himself would have been promoted to the higher grade but for his deputation.

The benefit is given by the administrative Ministry in accordance with the principles laid down by the Ministry of Finance O.M. No. 6(23)-E.III/62, dated 22-6-1962.

Existing Powers.—Chief Engineer has no powers in respect of Class I and Class II Officers.

Proposed powers.—The C.E. should have powers to grant 'next below rule' benefit to officers up to the level of superintending engineer.

Justification.—For satisfying the conditions of the 'next below rule' the following certificates are required to be given to audit authorities :

- (a) all officers senior to the one on deputation have already been promoted in the department itself or have been given proforma promotion under the next below rule; and
- (b) at least one officer junior to the officer on deputation should have been promoted in the parent cadre.

The CPWD maintains the seniority list of Class II officers, and the Ministry of Class I officers. The panels prepared by the DPC for promotion to higher post are also maintained by the Ministry and they grant the benefit of 'next below rule' both to Class II and Class I officers.

It has been suggested elsewhere that the CPWD should issue notification regarding promotions of Class I officers and give secretariat assistance to the DPC. On the basis of the panels prepared by the DPC and maintained by the CPWD, the CPWD should be in a position to issue the certificates required subject to the fulfilment of the conditions prescribed by the Ministry of Finance. If the power is delegated as proposed, it will reduce avoidable load of work on the Ministry without any risk.

Method and procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

4. Grant Of Conveyance Allowance To AEs, EEs, SEs and ACEs

Introductory.—In their Memo No. F.11(5)-E4(B)/60, dated the 24th May, 1961, the Ministry of Finance, Department of Expenditure have prescribed the revised rates of and conditions for grant of conveyance allowance under SR 25. In accordance with this Memo, unless the average monthly travel within a radius of 8 k.m. from the headquarters is more than 200 k.m., no conveyance allowance is granted. The officers eligible for conveyance allowance are required to maintain log book of journeys for a minimum period of 3 months. Based on the average monthly travel on official duty the rates of conveyance allowance are sanctioned, depending on whether the officers maintain a motor car or other modes of conveyance.

The rates of allowances prescribed are as under :

Average monthly travel on official duty	Rates of conveyance allowance for journey by—	
	owned motor car	other modes of conveyance
	Rs.	Rs.
201—300 kilometers	60 p.m.	20 p.m.
301—450 „	90 p.m.	30 p.m.
451—600 „	120 p.m.	40 p.m.
601—800 „	150 p.m.	50 p.m.
Above 800 „	180 p.m.	50 p.m.

The rates of conveyance allowance are to be reviewed every two years.

Existing powers of CE, CPWD.—Chief Engineer is at present competent to continue the conveyance allowance already sanctioned at the same or lower rates after a review every two years. However, he does not have the powers to sanction conveyance allowance for new posts of A.Es, E.Es, S.Es, and A.C.Es that are sanctioned.

Proposed Powers.—It is proposed that, subject to the conditions prescribed in the Ministry of Finance O.M. of 24th May, 1961, the chief engineer may be delegated full powers to sanction conveyance allowance to the engineers.

As the Ministry of Finance have laid down clearly the general principles, and the rates of conveyance are based on the average monthly mileage covered, the chief engineer may be empowered to sanction conveyance allowance for the new posts.

Justification.—The chief engineer is satisfactorily exercising a part of the power viz. continuing the allowance already sanctioned. There does not appear to be any risk involved in his enjoying this power with regard to new posts; in fact he is in a better position to say whether the entitlement of the officer holding the new post is in accordance with the rules. Besides, there does not appear to be any particular advantage in concentrating this power in the Ministry.

Method/procedure of delegation.—Ministry of Finance O.M. of 24th May 1961 delegates powers only to the Ministries and not to the Heads of Departments. It will, therefore, be necessary to consult Ministry of Finance before the powers are re-delegated by the Ministry of Works & Housing to the chief engineer.

5. *Permission To Non-Entitled Officers To Travel By Air*

Introductory.—Under SR 48-B(ii), the competent authority may permit an officer drawing pay less than Rs. 1,300 p.m.* to travel by air if air travel is urgent and necessary in public interest.

The Ministry of Finance in their Memo. No. 16(6)-Est. IV/58 dated 27th August, 1958 have clarified that the competent authority to sanction air travel for officers working in the Ministry is the joint secretary and for officers working in the attached and subordinate offices, deputy secretary of the Ministry.

Extent of the existing powers.—Chief Engineer has no powers. He or additional chief engineer (ACE) on his behalf certifies the urgency of air travel and the Ministry examines and issues the sanction for air travel.

Proposed powers.—The chief engineer may be given full powers to permit air travel to non-entitled officers.

Justification.—On the strength of the ACE's certificate that air travel is urgent and in public interest, the Ministry sanction air travel practically as a matter of routine. This being so, the power could be delegated to the chief engineer who is the Head of the Department. There are instances where similar power is enjoyed by Heads of Department, viz., D.G., C.A., D.G., AIR.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with Finance.

6. *Issue Of Sanction Under S.R. 116(b) (ii) i.e., Drawal Of Transfer T.A. In Respect Of The Officer's Family Who Joins Him At His New H.Qrs. After 6 Months.*

Introductory.—In their memorandum No. 13(13)-E.IV(B)/64 dated the 29th August, 1964, the Ministry of Finance, Department of Expenditure, delegated full powers to all heads of departments for grant of transfer T.A. in respect of the family of a transferred officer who joins him at his new headquarters after 6 months.

Power exists, but not exercised.—Evidently, the CPWD is not aware of the orders issued by the Department of Expenditure.

*Officers in receipt of pay of Rs. 1300/- to 1599/- may travel by air at their discretion if the distance involved is more than 800 Km. and the journey cannot be performed overnight by rail.

They, therefore, continue to refer such types of cases to the Ministry of Works and Housing and the latter issue the sanction. It is necessary to bring the orders to the notice of the Ministry of Works and Housing and CPWD.

7. Extension Of The Joining Time Admissible Under Rules Beyond The Maximum Of 30 Days

Introductory.—SR 301 lays down that a competent authority may extend the joining time admissible under the rules provided that the general spirit of the rule is observed. At present, only the Departments of the Government are competent to extend the joining time beyond the maximum period of 30 days.

Extent of the existing powers of CE.—Chief Engineer has no powers.

Proposed powers.—The chief engineer may be delegated full powers under SR 301 to extend the joining time beyond the limit of 30 days.

Justification.—The CPWD Officers have to proceed to remote areas like NEFA and Sikkim and if on account of circumstances beyond their control they cannot join within the specified period of joining time, the chief engineer should exercise the power to extend this period. References now being made to the Ministry on this subject can, in such circumstances, be considered as a pure formality. Grant of the proposed power is necessary from the point of view of work simplification.

Method/procedure of delegation.—Specific delegation has to be made in consultation with the Ministry of Finance.

8. Hiring Of Typewriters Beyond 4 Months

Introductory.—In their Office Memorandum No. S&P II-56(1)/58, dated 15th July, 1961, the then Ministry of Works, Housing and Supply had issued an order that in cases where a typewriter is required to augment the existing stock with the department, hiring may be resorted to as an interim arrangement by the heads of departments up to a total period of one year or till the new machine is received, whichever is earlier. However, where a typewriter is hired without any intention of acquiring a new one, heads of departments may sanction the hiring for a period not exceeding 4 months for their own offices or offices subordinate to them.

Existing Powers of C.E.—As head of the department, the chief engineer can hire typewriters for a period of one year or till the new machine is received, whichever is earlier. Where, however, the machine is required to cope with temporary increase in work, he can hire typewriters for a period of 4 months.

Proposed powers.—The chief engineer may be delegated powers to hire typewriters for a period of 6 months for temporary increase in work.

Justification.—For temporary increase in work it sometimes becomes necessary for the chief engineer's office to hire typewriters for a period of 6 months. If the existing power is enhanced, it will also help in reducing ordinary references (*i.e.*, not requiring detailed and careful examination) to the Ministry.

Method/procedure of delegation.—Specific delegation has to be made by the Ministry of Works & Housing. It is not necessary to consult the Ministry of Finance.

9. Waiver Of The Condition Of Security Deposit In Case Of Officiating Cashiers

Introductory.—GFR 271 lays down that when a government servant who has furnished security under Rule 270 takes regular leave or is deputed to other duties, the one who is appointed to officiate shall be required to furnish the full amount of security prescribed for the post.

Departments of the Central Government may, however, exempt staff officiating in such a short-term vacancy from furnishing security if the circumstances warrant such exemption, provided that—

- (i) they are satisfied that no risk is involved;
- (ii) such exemption is granted only in case of permanent or quasi-permanent government servants;
- (iii) the period of officiating arrangement does not exceed 4 months.

When the cashier in a Divisional or a Circle Office proceeds on leave, officiating arrangements have to be made for that period. In such cases, relaxation of the rule relating to security deposit by officiating cashiers have to be made.

Extent of existing powers of C.E.—Chief Engineer at present has no power to relax the rule.

Proposed powers.—The chief engineer should have full power to waive the condition of security deposit subject to the conditions laid down in GFR 271.

Justification.—As these cases mainly arise in Divisional Circle Offices which are subordinate to the chief engineer, necessary control and check is exercised by the chief engineer. Besides, relaxation of the rule is adequately circumscribed by appropriate safeguards.

The Ministry, therefore, can make no significant contribution in such cases. Proposed delegation will reduce one stage in the finalisation of officiating arrangement and reduce avoidable routine in the Secretariat with consequent saving of time involved.

Method/procedure of delegation.—Specific delegation may be made by the Ministry in consultation with the Ministry of Finance.

10. Hot And Cold Weather Charges

Introductory.—Ministries/Departments enjoy full powers to provide air-conditioners, desert coolers and khas-khas tatties during the summer season, meeting the expenditure from their 'contingencies'. In the case of air-conditioners, the administrative Ministries/Departments have to consult the CPWD before hand as regards the capacity of machine, its location, availability of power connection, etc. The instructions on this subject are contained in the Ministry of W & H's Memo. No. 16/3/63-Acc./II, dated the 16th December, 1963, 19th December, 1963, 26th December, 1963 and 3rd December, 1964.

Existing powers of chief engineer.—The chief engineer does not enjoy any power to provide desert coolers and air-conditioners for the offices under his Department.

Every year, the CPWD's office compiles a list of officers of the Department, drawing Rs. 1,250 and above in Delhi and New Delhi, and forwards it to the Ministry of W & H for sanction to hiring of the required number of desert coolers.

The CPWD have also to approach the Ministry of W & H for installation of khas-khas tatties not only in its central office, but also in respect of the subordinate offices under its control.

Proposed powers.—Full powers subject to the observance of the rules prescribed by the Government from time to time.

Justification.—At present, a lot of correspondence is involved between the central offices of the CPWD and subordinate offices on the one hand, and between the central office of the CPWD and the Ministry on the other. Sometimes, this results in delay in the cooling arrangements being made. Once the budget provision relating to this item for the central as well as subordinate offices of the CPWD has been made as being unavoidable, no purpose seems to be served by reserving in the Ministry the power to grant expenditure sanction for hiring of desert coolers and installation of khas-khas tatties; and non-delegation of the power to the CPWD results in burdening the secretariat with avoidable routine work.

Method/procedure of delegation.—The administrative Ministry is competent to delegate the powers to the chief engineer, CPWD, in terms of para 9 of the Ministry of Finance O.M. No. 10(4)E Coord/62, dated the 1st June, 1962. No reference to the Ministry of Finance is necessary.

11. *Local Purchase Of Stationery*

Introductory.—The administrative Ministry may make local purchase of stationery upto Rs. 10,000 per annum. Subject to the concurrence of the Controller of Printing & Stationery the administrative Ministry may make local purchase of stationery without any monetary limit.

Existing powers of C.E.—Chief Engineer may make local purchase of stationery upto Rs. 5,000 per annum.

Proposed powers.—The same powers as are now enjoyed by the administrative Ministry, i.e. the chief engineer may make local purchase of stationery upto a monetary limit of Rs. 10,000 per annum, and subject to the concurrence of CCP & S without any limit.

Justification.—The CCP & S does not supply the special articles of stationery required by the architects in the CPWD. The following are the approved articles of stationery which are purchased locally to meet the immediate requirements of senior architects, architects, asst. architects and architectural draftsmen:

- (i) Pencils charcoal.

- (ii) Pencils colour sets.
- (iii) Map tacks.
- (iv) Drawing pins.
- (v) Rubber bands.
- (vi) Ink colour.
- (vii) Ink magic pen, etc.

Method/procedure of delegation.—The actual expenditure during the last three years has been of the order of Rs. 35,000 per year which is 7 times the present limit and $3\frac{1}{2}$ times the proposed limit.

The chief engineer as the administrative head of a technical department should have the necessary powers to sanction expenditure with regard to present demands relating to basic materials required for the efficient discharge of technical functions. Specific delegation has to be made by the administrative Ministry in consultation with the CCP & S and the Ministry of Finance.

12. *Installation Of Residential Telephones*

Introductory.—The administrative Ministry have full powers to sanction residential telephones under the Delegation of Financial Powers Rules, 1958, as amended from time to time.

Existing powers of C.E.—The chief engineer has the powers to sanction residential telephones for the executive engineers, superintending engineers and additional chief engineers.

Proposed powers.—To sanction residential telephones for assistant engineers, S.W. (E.E.'s grade) S.S.W. (S.E.'s grade), senior architects (S.E.'s grade), director of horticulture (S.E.'s grade), engineer officers (E.E.'s grade) deputy director of administration (U.S.'s grade) and director of administration (D.S.'s grade), where there is adequate justification. C.E. may also be delegated the power to continue the residential telephones from year to year.

Justification.—Normally, the assistant engineers, surveyors of works, architects, etc. are not eligible to a residential telephone. It is only on the basis of an 'essentiality certificate' given by the A.C.E. or the C.E. that the residential telephone is sanctioned to such officers by the Ministry of W. & H. The chief engineer who issues the essentiality certificate which is invariably relied

upon by the Ministry, can reasonably be trusted to exercise, in the best interests of administration, his discretion in sanctioning residential telephones for the categories of officers, who are not now entitled to them.

The administrative Ministry only verifies the arithmetical accuracy of figures relating to sanctions before sanctioning the continuance of the existing telephones from year to year. The powers could, therefore, be delegated to the chief engineer with advantage to the Ministry and without any risk.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry. No consultation is necessary with the Ministry of Finance.

13. *Purchase Of Furniture*

Introductory.—In accordance with the Ministry of Finance O.M. No. 10(4)E-Coord./62, dated the 1st June, 1962, the administrative Ministries have full powers for purchase of furniture. Para. 9 of the same Memo. permits the administrative Ministries to redelegate powers to the heads of departments.

Existing powers of C.E.—The chief engineer has powers to purchase furniture upto Rs. 5,000/- per annum.

Proposed powers.—Full powers for purchase of furniture.

Justification.—The actual expenditure on purchase of furniture for the last 3 years has been more than Rs. 15,000/- per annum. Regular additions to the staff are made from year to year. The present policy is to purchase steel furniture. This adds to the cost. Although specific provision is made in the budget estimates for purchase of furniture, the chief engineer cannot exceed the monetary limit of Rs. 5,000/- without the concurrence of the administrative Ministry. Since the sanction from the Ministry is formal and the policy is to decentralise routine work, there should be no objection to the delegation of these powers to the chief engineer who will exercise them subject to the usual conditions laid down.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry. Concurrence of the Finance Ministry is not necessary.

14. *Creation And Continuance Of Class II Gazetted Posts*

Introductory.—The administrative Ministries have been delegated full powers to create and continue Class I and Class II posts for any specified period. However, there is now a general ban on creation of posts which necessitates references to the Department of Expenditure even for creation of Class III and Class IV posts.

Extent of existing powers of C.E.—Chief Engineer can create temporary posts of assistant engineers Class II for only a specified period according to the prescribed work-load yardstick.

Proposed powers.—The chief engineer may be delegated powers to create on the engineering side temporary posts of Class II (Gazetted) for any specified period, that is, the posts of A.Es., P.A. to S.E., Asstt. Surveyor of Works.

Justification.—In their Memo. No. F-10(4)-E-Coord/62, dated 1st June, 1962 the Ministry of Finance delegated full powers to Ministries for creation of posts. In para 9 of the same Memo., they stated that the administrative Ministry should redelegate powers to the heads of departments to the extent possible. The redelegation provision will be nullified if the powers are entirely concentrated in the Ministry. It is, therefore, necessary that subject to the existing orders banning the creation of posts, the powers to create all Class II posts except architects, may be exercised by the chief engineer as the Head of the Department.

Method/procedure of delegation.—Specific delegation has to be made by the Ministry of W. & H. in consultation with the Ministry of Finance.

15. *Authorisation Of Provisional Pay Up To 6 Months To Non-Gazetted Staff*

Introductory.—The non-gazetted staff in the CPWD are transferred periodically from one station to another. They also work in far off places like Ladakh, NEFA, Andaman & Nicobar Islands. Sometimes, the LPC is not promptly issued when the staff are transferred from one place to another. In such cases provisional pay has to be authorised.

Extent of the existing powers of C.E.—The chief engineer has powers to authorise provisional pay to non-gazetted staff up to 3 months.

Proposed powers.—The chief engineer may be delegated powers to authorise provisional pay up to a period of 6 months in each case.

Justification.—Transfers are unavoidable. The proposed delegation will help in reducing the time now involved in processing a case for grant of provisional pay which often causes hardship to the staff concerned, and does not seem to involve significant risk.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

16. Reappropriation Of Funds

Extent of the existing powers:

Major Works

In their letter No. 4(8)/61-B(CE) dated the 21st July, 1964, the Ministry of Works & Housing have delegated powers to the chief engineer to re-appropriate funds available as savings from one 'Major work' to another 'Major work' for which provision has been made in the budget grant. This power, it seems, is not being exercised by the chief engineer's office.

Although the chief engineer has powers to divert funds from one project in progress to another in progress under this sub-head, he does not enjoy powers of reappropriation of savings from one sub-head like 'Major work' to another sub-head like 'Minor work'.

Minor Works

Under the sub-head 'Minor works' there are various Account Heads like 'Stationery and Printing', 'Irrigation', 'Scientific Departments', 'Public Health', etc. The chief engineer has powers to reappropriate funds from one Account Head to another. He does not, however, have any power to reappropriate funds from 'Minor works' to 'Major works'.

Establishment

Although in the letter of 21st July, 1964, the Ministry of Works & Housing delegated powers of reappropriation of funds from one primary unit to another; i.e. from 'Pay of Officers' to

'Pay of Establishment' or 'Allowances and Honoraria'. In actual practice this power is not exercised on account of the general ban on creation of posts. The restrictions on reappropriation of funds from one primary unit to another under this sub-head have been imposed by the Department of Expenditure.

Proposed powers:

'Major' & 'Minor' works.

The chief engineer may continue to enjoy the powers of reappropriation from any 'Major work' to any other 'Major work' whether the work is in progress or not, provided that the amounts are reappropriated for items included in the budget.

He may also be delegated the powers of reappropriation from any 'Major work' to any 'Minor work' and *vice versa*, whether the work is in progress or not provided that the amounts are reappropriated for items included in the budget.

Justification.—At present proposals from the chief engineer to reappropriate savings from 'Minor works' to 'Major works' or *vice versa*, are being freely accepted by the Ministry of Works & Housing. Since the exercise of power by the C.E. to reappropriate funds from any 'Major work' to any other 'Major work' was not considered as likely to cause any difficulty, no risk seems to be involved in the proposed delegation which in effect means power to reappropriate from one original work to any other original work, whatever its category. The proposed delegation will only help reduce the load of avoidable routine work in the secretariat resulting in work simplification all round.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

17. Enhancement Of Powers Of CPWD Officers For Local Purchase Of And Repairs To Mathematical And Surveying Instruments

Existing powers.—(i) In accordance with para 155 of the CPWD Code all new instruments required by the Department should be obtained by placing an indent on the National Instruments Factory, Calcutta. Also, instruments requiring repairs should ordinarily be sent to National Instruments Factory, Calcutta or to the Depot from which they were supplied for the purpose.

(ii) In consideration of the need to procure instruments for War Emergency Works, powers were delegated to the S.Es/A.C.Es./C.E. by the then Ministry of Works, Housing and Rehabilitation letter No. Cont. 13/3/63 dated the 2nd May, 1963 to resort to

(1) local purchase

- (a) when the National Instruments Factory certifies that the instruments required are not manufactured by them and hence cannot be supplied;
- (b) when instruments were urgently required and the delivery period given by the N.I.F. was long and likely to result in delaying the work;

and (2) repairs of the instruments locally.

These orders did not envisage any local purchase or repairs of instruments locally in cases where the works could not be certified to be connected with war emergency.

(iii) For the purchase of stores not borne on the DGS&D rate/running contracts, powers have been delegated by the Ministry of Works & Housing letter No. 13/7/62-Cont. | EWI, dated 12th May, 1964 to the executive engineers; superintending engineers and additional chief engineer/chief engineer, as follows:—

Executive Engineer . . . Rs. 2,000 per item subject to the ceiling of Rs. 25,000 per annum.

Superintending Engineer . . . Rs. 5,000 per item subject to the ceiling of Rs. 25,000 per annum per Division under the Circle in addition to the powers of the executive engineer.

C.E./A.C.E. Rs. 5,000 per item without any limit.

Justification for Change.—The present provision of the CPWD Code and the powers delegated to the engineering officers as per orders dated 2nd May, 1963 do not admit of any deviation being made in the case of urgent requirements. Besides, they also do not clearly state the procedure to be followed for the instruments not manufactured by the National Instruments Factory, in normal cases. Even for the emergency works there is no stipulation about the time limit up to which the engineering officers should wait for supply to be effected by the National Instruments Factory before resorting to local purchase. As regards repairs to instruments locally also there are no clear cut instructions.

As para 155 of the CPWD Code makes a mention of only those instruments which are manufactured by National Instruments Factory and since engineering officers have been delegated more powers for local purchase of stores not borne on DGS&D rate/running contracts in accordance with the letter dated 12th May, 1964 there is no need to discriminate between the instruments not manufactured by N.I.F., and stores not borne on DGS&D lists.

Proposed powers

(i) *Instruments not manufactured by National Instruments Factory.*—Orders relating to purchase of stores not borne on DGS&D rate/running contracts, contained in the Ministry of Works and Housing letter No. 13/7/62-Cont. EWI, dated 12th May, 1964 may be extended to cover the purchase of instruments, not manufactured by the National Instruments Factory, by engineering officers of the CPWD to enable them to effect local purchases of such instruments in all normal cases.

(ii) *Urgent requirements which cannot be met by the National Instruments Factory within a period of 3 months.*—For the execution of all emergent works, in respect of the instruments manufactured by the National Instruments Factory, officers of the rank of superintending engineer and above may be delegated powers as detailed below to resort to local purchase provided that the National Instruments Factory is unable to effect supply within a period of 3 months:

S.E. Rs. 500 per item subject to a maximum of Rs. 5,000 per annum.

C.E./A.C.E. Rs. 2,000 per item without any limit.

(iii) *Repairs to instruments locally.*—The superintending engineers and the additional chief engineers/chief engineer be authorised to exercise full powers to get instruments repaired locally wherever satisfactory arrangements for this exist in the station or nearby. Only costly and precision instruments which cannot satisfactorily be repaired locally need be sent to the National Instruments Factory.

Method/procedure for revising the existing procedure and powers.—The Ministry of Works and Housing may revise the existing procedure laid down by the CPWD Code and enhance powers of engineering officers as proposed in consultation with the Ministry of Finance.

18. *Sanction Regarding Refund Of C.G.H.S. Contribution*

Introductory.—Refund of CGHS contribution is required to be made in the following cases:—

- (a) On first appointment, Government staff who reside in areas not covered by the CGH Scheme often do not intimate—as they are not conversant with the rules—to the effect that they are not living in the areas covered by the CGHS. The cash section of the CPWD as usual, makes deduction in respect of the CGHS contribution from their salary. When, after a few months, such staff come to know of the deductions, they apply for refund.
- (b) In some cases, a change of residence from one area covered by the CGHS to another not covered is involved. In such cases also, in the absence of any intimation, the cash branch continues to make deductions. After some time, the persons concerned apply for refund.

Existing powers of C.E.—Chief Engineer has no powers to refund the amount.

Proposed powers.—Full powers to refund the recoveries made erroneously.

Justification.—The amount involved in these cases of refund ordinarily does not exceed Rs. 10/-. Since refund is based on verifiable facts of record, there would hardly be any chance of abuse. The secretariat need not be burdened with such petty and routine matters.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Health Ministry.

19. *Recovery Of Government Dues From Government Contribution in Workmen's Contributory Provident Fund.*

Introductory.—Under rule 36 of the Contributory Provident Fund Rules, 1962, the President may direct deduction from the amount standing to the credit of a subscriber and payment thereof to Government of:—

- (a) any amount, if a subscriber has been dismissed from the service for grave misconduct;

provided that, if the order of dismissal is subsequently cancelled, the amount so deducted shall, on his reinstatement in the service, be replaced to his credit in the Fund;

- (b) any amount, if a subscriber resigns his employment under Government within 5 years of the commencement thereof otherwise than by reason of superannuation or a declaration by competent medical authority that he is unfit for further service;
- (c) any amount due under a liability incurred by the subscriber to Government.

There is, however, an upper limit for such deduction in that it cannot exceed the contribution by Government with interest thereon credited under rules 11 and 12.

Extent of the existing powers of C.E.—The Ministry of Works & Housing/chief engineer have no powers to make such a deduction.

Proposed powers.—Full powers.

Justification.—When the services of a Government servant are terminated as a result of grave misconduct, the authority inflicting the punishment may also order imposition of any deductions. For instance, when a worker's services are terminated on account of misconduct, if he has been responsible for any loss of stores, tools, etc., a further penalty of deduction from the contributory provident fund may also be imposed. Another case would be of a worker who wilfully absents himself from duty without any intimation and his services are terminated after 90 days of absence. Since such absence is construed as misconduct, he renders himself liable to incurring forfeiture of the benefit of the Government contribution to the provident fund. No appeal is generally filed by the staff affected.

In the CPWD, examination of such cases is made on the following lines:

- (a) whether the account number and the amount standing to the credit of the subscriber have been intimated by the Divisional Officer;
- (b) whether the proposed recovery is covered by the amount available in the Government contribution;

- (c) whether proper action was taken by the executive engineer in dismissing the worker;
- (d) whether a declaration by the competent medical authority has been made in respect of government servants who remain on medical leave and are later declared unfit for further service;
- (e) whether the person involved has taken any advance, namely, festival, cycle, fan, etc., and not repaid in full or part.

These cases are thus examined in detail in the chief engineer's Office and referred to the Ministry generally for issue of sanction. In delegating this power, no risk appears to be involved. Besides, it will help reduce avoidable routine work in the Ministry.

Method/procedure of delegation.—Specific delegation has to be made by the Ministry of Finance.

20. *Test-check By The Assistant Engineers/Executive Engineers In Respect Of Minor Works*

Introductory.—In para 5.605 of the CPWD Manual, Vol. II, the following is provided in sub-para (b) at page 36:—

- “(b) For recording measurements in the Measurement Book in respect of minor works outside the headquarters of the sub-divisional officer the following procedure should be observed:—
 - (i) The sub-divisional officer will himself record the measurements upto at least 25 per cent of such items as are covered up and cannot be checked subsequently in respect of works costing more than Rs. 2,500. Remaining measurements in respect of such items will be recorded by the section officers and the measurements may not be checked by the S.D.O. unless he desires to do so for one reason or the other.
 - (ii) Measurements of other items and all the items in respect of works costing Rs. 2,500 or less will be recorded by section officers and test checked by the S.D.O. upto at least 50 per cent.

These orders shall apply to minor works under the control of the section officers who are authorised by name by the additional chief engineer concerned from time to time to exercise the above powers."

Extent of the existing powers.—Measurement of all the items in respect of works costing Rs. 2,500 or less shall be recorded by section officers.

Proposed powers.—Measurement of all items in respect of works costing Rs. 5,000 or less shall be recorded by the section officers.

Justification.—The prices at out-stations have more than doubled. It is, therefore, suggested that the limit of Rs. 2,500 may be raised to Rs. 5,000 since the present requirement results in, apart from overloading the assistant engineer who has to supervise works distributed over a large area delays in the passing of running and final bills on account of which it is difficult to get tenderers to quote for minor works at out-stations specially in those difficult areas where transport facilities are not easily available.

Method/procedure of delegation.—Specific delegation has to be made by the administrative Ministry in consultation with the Ministry of Finance.

21. *Regularising Non-deposit Of Earnest Money For Construction Works*

Introductory.—When urgently required, work is sometimes ordered to commence even before the earnest money has been deposited by the contractor.

Existing powers.—Chief Engineer has no powers.

Proposed powers.—C.E./A.C.E./S.E. who is competent to award contract should also have the power to regularise non-deposit of earnest money, after recording the circumstances in which it could not be deposited by the contractor in time.

Justification.—The Ministry at present issues only *ex-post facto* sanction to cure the irregularity. Since such an irregularity arises on account of an urgency, it would be proper to delegate the powers to the authority competent to award the contract.

Method/procedure of delegation.—It is necessary to consult the Ministry of Finance before delegating the power.

22. *Waiver Or Reduction Of Compensation Levied By The Superintending Engineer On Contractors For Some Default*

Introductory.—At present, according to the terms of contract, the S.E. is competent to levy compensation on contractors as regards non-completion of the work within the stipulated time or on account of defects in construction. Under para 6.13, of the CPWD Manual, Vol. II, once the S.E. has levied the compensation, whether rightly or wrongly, and recoveries have been made, the prior concurrence of the Government of India including the Ministry of Finance would be necessary for the refund of the amount so recovered.

Existing powers.—Chief Engineer has no appellate powers with regard to the compensation levied by the S.E.

Proposed powers.—The chief engineer may be delegated full power to waive or reduce the compensation on appeal.

Justification.—Appeal should normally lie to the next higher level which, to ensure uniformity of treatment for all the zones in charge of different addl. chief engineers, should be the chief engineer. By virtue of his technical competence and experience, the chief engineer could be expected to give a fair and reasonable verdict on the need to levy compensation and the appropriate amount in the circumstances of the case. The power could, therefore, be delegated with advantage to the chief engineer.

Method/procedure of delegation.—It is necessary to consult the Ministry of Finance before delegating the power.

23. *Relaxation Of Para 208 Of CPWD Accounts Code Regarding Measurement Of Works Being Recorded In The Measurement Books In Case Of Petty Works And Repairs.*

Introductory.—Under item 13 of the Schedule to the Delegation of Financial Powers Rules, 1958, the heads of departments are competent to incur expenditure without any limit on maintenance, up-keep and repairs to motor vehicles.

Para 208 of the CPW Accounts Code prescribes that payments for all works done otherwise than by the daily

labourers and for all supplies should be made on the basis of measurements recorded in the Measurement Books.

Existing procedure.—Probably repairs to motor vehicles which are not recorded in the Measurement Books are sanctioned with the concurrence of the Ministry.

Comments.—The existing position as stated in the preceding para does not appear to be correct in accordance with the Delegation of Financial Powers Rules 1958, which confers full powers on Heads of Departments for incurring expenditure on repairs to motor vehicles. The Staff Car Rules also do not stipulate that it would be necessary to record the repairs in the Measurement Books. This being so, there seems to be some confusion about this particular item of expenditure.

Proposal.—It is suggested that a clarificatory letter may be issued explaining the specific provisions of the Account Code with reference to repairs to motor vehicles in consultation with the Ministry of Finance.

24. Urgent And Emergent Work

Introductory.—Para 66 of the CPWD Code provides that the competent authority to authorise commencement of work in anticipation of administrative approval and expenditure sanction in respect of 'urgent' work is the Ministry of Works & Housing, and for 'emergent' work the chief engineer/additional chief engineer.

Existing position.—The instances of urgency or emergency cited in para 66 of the Code are a breach, or a flood, or a calamity such as an earthquake and so on. Other important instances viz., serious cracks in the buildings, landslides, etc. are not specifically included.

Proposed action.—To facilitate due exercise of power without delay in a really urgent type of work or in an emergency, which need not be confined only to instances cited in the said para 66, it is necessary to define the words 'urgent' and 'emergent' works in detail and to state in specific terms the items which would be covered by the words 'and so on' appearing in the preceding para.

Method/procedure of implementation.—The CPWD should draw up a list of ‘urgent’ and ‘emergent’ works based on past experience and send suitable proposals to the Ministry of Works & Housing for modification of the relevant provisions of the Code. The Ministry of Works & Housing may suitably amend the provisions of the Code in consultation with the Ministry of Finance.

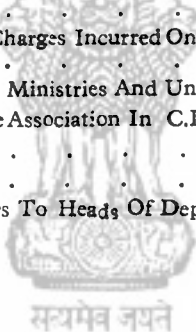


APPENDIX VIII

(Para 4'12)

BROAD SHEETS OF POWERS PROPOSED TO BE DELEGATED TO THE ADMINISTRATIVE MINISTRIES.

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1. Payment Of Arrear Claims Without Pre-Audit If The Same Has Been Certified By The Ad Hoc Committee.

Introductory.—G.F.R. 86 lays down that when the Audit or Accounts Officer is unable to investigate an arrear claim due to the limited period of preservation of records or otherwise, payments cannot be made without the previous consent of the Ministry of Finance. According to the order issued by the Ministry of Finance, each Head of Department is required to appoint an *Ad hoc* Committee to scrutinise the arrear claims.

Existing powers.—Ministries do not enjoy any power in this regard.

Proposed powers.—Powers may be delegated to the administrative Ministries to sanction payment of arrear claims without pre-audit up to Rs. 1,000 each.

Justification.—Payment is required to be made only in those cases which are certified by the *Ad hoc* Committee to be correct. The Ministry of Finance generally accepts the advice of the *Ad hoc* Committee which in the present case is presided over by the chief engineer. There would seem to be little justification for a further scrutiny after the *Ad hoc* Committee has certified genuineness of the claim. The power to sanction these claims, therefore, could safely be delegated to the administrative Ministries. The proposed delegation would reduce the number of avoidable references to the Ministry of Finance.

Method of delegation.—The Ministry of Finance may amend G.F.R. 86.

2. Creation Of Posts Of Assistant Engineer For Those Recruited Through The UPSC On The Basis Of Engineering Services Examination To Cover Their Training Period.

Introductory.—Every year, the CPWD recruits a certain number of assistant engineers on the basis of the results of Engineering Services Examinations which are conducted by the UPSC. These officers receive training for about 34 weeks for which period it is necessary to create additional posts. A reference is made by the chief engineer to the Works & Housing Ministry who, in turn, asks for the concurrence from the Ministry of Finance.

Existing powers.—The Ministry do not enjoy any power in this regard.

Proposed powers.—Full powers may be delegated to the administrative Ministry for creation of posts for the period of training.

Justification.—It is incumbent on Government to create these posts for which the justification is obvious and hence no detailed examination as to the necessity or the purpose can be made. No special purpose is, therefore, served by referring the proposal to the Ministry of Finance. It appears that the Ministry of Finance invariably accepts the proposals annually made in this behalf.

In fact, there should be a permanent training reserve to accommodate the recruits to posts of asstt. engineers who are selected on the basis of the combined Engineering Services Examination and this may be examined separately.

Method of delegation.—The power to create temporary posts for the trainees may be delegated to the administrative Ministry by the Ministry of Finance by the issue of formal order on the subject.

3. Deputation Of Officers For Training Abroad

Introductory.—The Ministry of Finance, Department of Economic Affairs, intimates other Ministries of the training facilities available abroad and invites them to forward nominations for the training courses.

After selection of suitable candidate(s), the administrative Ministry has to obtain the concurrence of the Ministry of Finance in principle before actually sponsoring a deputation or entering into any commitment in this regard.

Existing powers.—The power to depute officers abroad for training does not vest in the administrative Ministries.

Proposed powers.—Ministries may be delegated powers to depute their officers abroad for training if the terms of deputation are standardised.

Justification.—The technical assistance schemes are finalised by the Department of Economic Affairs with the approval of the Cabinet. The terms of deputation are standardised by them in consultation with the Department of Expenditure.

The administrative Ministry when they sponsor an officer for training abroad under a technical assistance scheme, consult the Department of Expenditure for incurring local costs such as officiating arrangements in place of the officer sent abroad, travelling expenses, etc. The expenditure on local costs generally being insignificant, there seems hardly any necessity to consult the Department of Expenditure. It is for the administrative Ministry to decide whether a particular type of training is needed for any of its officers.

Method of delegation.—A general order may be issued by the Ministry of Finance.

4. Condonation Of Break Between Two Spells Of Re-employment To Enable The Officer Concerned To Earn Annual Increments.

Introductory.—A re-employed officer cannot count his previous period of re-employment as service for purpose of increment if there has been a break between his two spells of re-employment. Requests from officers for condonation of such break are examined in the Works & Housing Ministry and then passed on to Finance (Works) for advice who, in turn, request comments of the Establishment Division of the Department of Expenditure.

Existing powers.—These powers do not vest in the administrative Ministries.

Proposed powers.—Ministries may be delegated the powers to condone all breaks not exceeding 90 days between two spells of re-employment.

Justification.—These matters are examined on compassionate grounds, there being no hard and fast rule permitting the condonation or otherwise of the breaks in question. Accordingly, if the Ministry concerned is satisfied that the circumstances of a case warrant condonation of break so as to enable the officer to count his previous re-employment for purpose of annual increment, they should have the power to accord necessary sanction. The period up to which they may do so, could be restricted to 90 days.

Method of delegation.—General order may be issued by the Ministry of Finance.

5. *Relaxation Of SR 12—Payment Of Fees To A Government Servant*

Introductory.—SR 12 states that unless the President by special order or otherwise directs, one-third of any fee in excess of Rs. 250 a year paid to a Government servant shall be credited to Central Revenues. This rule does not apply to fees received by Government servants from a university or other examining body in return for the services as examiners, paper setters, superintendents etc. or from revenues of another Government in return for their services to that Government.

Apart from the work relating to calibration of tanks of oil companies done on behalf of the Central Excise Department, the engineering officers of the CPWD frequently perform some functions on behalf of public undertakings, corporations, statutory bodies, etc. for which a fee is paid to them. The Government have discretion to allow the engineering officers to retain the entire fee in relaxation of SR 12. At present, it is the Ministry of Finance who are competent to relax this particular rule.

Existing powers.—The administrative Ministry have no powers.

Proposed powers.—The administrative Ministry may be delegated full powers for relaxation of SR 12.

Justification.—Since there are several public undertakings, corporations and similar organisations who seek technical advice of the engineering officers of the CPWD proposals regarding their engagement and payment of fees to them frequently arise. Such references would seem avoidable, because the underlying object of the rules is not financial but executive.

Method/procedure of delegation.—Specific delegation has to be made by the Ministry of Finance.

6. *Relaxation Of SR 130—Grant Of Travelling Allowance To Officers For Attending Examination*

Introductory.—SR 130 provides *inter alia* that a government servant is entitled to draw travelling allowances for the journey to and from the place at which he appears for an obligatory examination provided that:—

- (a) he does not draw the T.A. more than twice for a particular examination;

- (b) he has not neglected the duty of preparing himself for that examination. (The working principle for this purpose is that the candidate must have secured the minimum of 25 per cent marks).

Instances have occurred when government servants performed the journey but were not able to appear in the examination because it had been cancelled at the last moment, or because they had commenced the journey before they could be intimated about the cancellation of the examination.

Existing powers.—Administrative Ministries have no powers to relax the rule.

Proposed powers.—The Ministry of Finance may delegate power to administrative Ministries and heads of departments to grant T.A. in such circumstances after due verification of facts.

Method/procedure of delegation.—Specific orders may be issued by the Ministry of Finance delegating necessary powers under SR 130 to the administrative Ministries.

7. Grant Of Special Pay To Stenotypists And Cashiers.

Introductory.—A special pay of Rs. 20 p.m. is given to a lower division clerk working as a stenotypist. While the administrative Ministries are competent to create posts of LDCs, they do not have powers to sanction the special pay of Rs. 20 p.m. even though this rate of special pay to stenotypist is practically a part of the scale of pay.

The cashiers working in different offices are entitled to special pay for the additional responsibility which they shoulder. The rates of special pay to be paid to them depend on the amount of disbursement which they have to make every month. A graduated scale of special pay to be allowed to cashiers has been fixed by the Establishment Division. However, when new posts are created in a Department, a reference has to be made to the Establishment Division for the grant of special pay.

Existing powers.—The administrative Ministries do not enjoy powers to grant special pay to new posts.

Proposed powers.—Administrative Ministries should have full powers to grant special pay to stenotypists and cashiers according to the general principles and rates prescribed by the Establishment Division.

Justification.—The principles regarding entitlement and rate of special pay having been fixed by the Establishment Division, it would seem that there is no point in administrative Ministry having to refer such cases to the Finance Ministry for formal concurrence.

Method/procedure of delegation.—Specific orders may be issued by the Ministry of Finance delegating this power to administrative Ministries.

8. Increase In The Estimates On Account Of Rise In The Cost Index

Introductory.—Para 71 of the CPWD Code provides that when the expenditure on a work exceeds or is found likely to exceed the amount administratively approved for it by more than 10 per cent, a revised administrative approval must be obtained from the authority competent to approve the enhanced cost.

Para 73 of the Code also provides that any excess of more than 5 per cent over the amount to which expenditure sanction has been given, requires a revised expenditure sanction.

There is often considerable time-lag between preparation of preliminary estimates, based on approved schedule of rates, and percentage increases wherever applicable, and grant of administrative approval and expenditure sanction during which market rates may register significant rise even over the percentage increase over the schedule rate indicated in the preliminary estimates. This necessitates revision of the estimates and results in excess over the original estimates.

Existing powers of the Ministry.—The administrative Ministry have powers to issue revised administrative approval only if the excess is not more than 10 per cent and revised expenditure sanction if the excess is not more than 5 per cent.

Proposed powers of the Ministry.—The administrative Ministry may have powers to issue revised administrative approval or expenditure sanction if the increase is not more than 10 per cent as stipulated in the Ministry of Finance O.M. No. 10(4)E-Coord/62, dated 1st June, 1962.

Justification.—It has been proposed elsewhere that the administrative approval and expenditure sanction should be combined. If this proposal is accepted, it will require amendment of the CPWD Code. When amending specifically paras

71 and 73, it should be ensured that the limits mentioned in the Office Memorandum of 1st June, 1962 are incorporated.

Method/procedure of delegation.—The concurrence of the Ministry of Finance in amending the relevant provisions of the CPWD Code is necessary.

9. Payment Of Insurance Charges Incurred On Movable Property

Introductory.—Under Rule 10-B of the Delegation of Financial Powers Rules, no Ministry can undertake any liability or incur any expenditure in connection with the insurance of Government property without the prior consent of the Ministry of Finance save in exceptional circumstances. The exceptions are:—

- (i) Departments of the Central Government shall be competent to incur expenditure on the insurance of materials and equipments received on loan or as aid from international or other organisations if, according to the terms of the contract or agreements entered into with the organisations concerned, insurance of such materials or equipment is necessary.
- (ii) Where for booking of goods by railways, an alternative railway risk is provided, additional charges above those prescribed for booking of goods at owners' risk being in the nature of insurance charges, Departments of Central Government shall be competent to incur such additional expenditure up to Rs. 250/- in each case for booking goods at railway risk.

Existing powers.—The Ministry have powers up to the extent indicated in sub-paras (i) and (ii).

Proposed powers.—It is proposed that the administrative Ministries may be delegated powers to incur an expenditure up to Rs. 250/- in each case by way of insurance charges on transport of fragile, costly instruments, appliances, apparatus, etc.

Justification.—As case studies show, the Ministry of Finance generally concur in the proposals for insurance relating to the transport of articles in question. The proposed delegation will, therefore, reduce an avoidable stage in the finalisation of cases, with consequent saving of time involved.

Method/procedure of delegation.—The Ministry of Finance may suitably amend Rule 10-B of the Delegation of Financial Powers Rules.

10. Purchase Of Vehicles By Ministries And Union Territories.

Introductory.—Under Rule 10 of the Delegation of Financial Powers Rules and Schedule V thereof, Ministries and Administrators of Union Territories have been delegated full powers for purchase of vehicles other than staff cars, if a specific provision exists in the budget; this is subject to the proviso that the power may not be exercised by re-appropriation of funds from other heads.

Existing powers.—Full powers subject to specific budget provision.

Proposed powers.—Full powers.

Justification.—Exercise of powers to purchase the vehicles is subject to the condition that no reappropriation of funds from other heads is involved. Since under schedule IV of the D.F.P.R., administrative Ministries have been invested with full powers of appropriation and reappropriation, it will lead to greater work simplification if the Ministry of Finance does not insist on a reference being made to them for allowing reappropriation of funds from other heads for purchase of vehicles. Since the Ministries enjoy full powers for incurring miscellaneous expenditure and for purchasing of stores there is justification for delegating the administrative Ministries and Administrators full powers for purchase of vehicles without any restrictive provision.

Method of delegation.—The Ministry of Finance may amend the Delegation of Financial Powers Rules.

11. Grant-in-aid To Welfare Association In CPWD.

Introductory.—Rule 12 of the Delegation of Financial Powers Rules 1958 confers full powers on Ministries to sanction the grant-in-aid, including educational scholarship, with previous consent of the Finance Ministry provided that such grants are in accordance with the rules or principles prescribed by them. The admissibility of the grant-in-aid for the welfare of the employees of the Government is regulated in the following manner:

- (i) The grants-in-aid would be admissible on the basis of the entire strength of actual number of gazetted

officers who are members of the club and non-gazetted (including ministerial and non-ministerial technical and Class IV) staff borne on the regular strength of the organisation and its attached and subordinate offices.

- (ii) The rate of grants-in-aid will be Rs. 2 per head per annum.
- (iii) Additional grants-in-aid up to Re. 1 per head per annum to match the subscriptions collected in the previous financial year by the existing staff club would be admissible.

At present every welfare association presents annually to the Ministry a list of members/office bearers, an up-to-date copy of the rules and regulations, and audited accounts of the association. These accounts are examined by the administrative department to see whether the funds of the association consist exclusively of subscriptions from its members or from Government grants.

Requests for *ad hoc* grants in certain cases and for specific purpose e.g. initial purchase of equipment are considered in consultation with the Ministry of Home Affairs and the Ministry of Finance on merits as and when such proposals arise.

Existing powers.—At present the Ministries cannot exercise the powers without obtaining prior concurrence of the Ministry of Finance.

Proposed powers.—It is proposed that the administrative Ministries may be delegated full powers to sanction grants-in-aid to associations subject to observance of further principles or conditions as may be laid down by the Ministry of Finance from time to time.

Justification.—At present, the principles are laid down in Rule 153 of GFR. The main items on which the expenditure can be incurred out of grants-in-aid sanctioned by Government are also stipulated therein.

Rules of association are shown to the Ministry of Finance for concurrence at the initial stage. With these basic safeguards, it would seem hardly necessary for the administrative Ministry to obtain concurrence of the Ministry of Finance.

Method/procedure of delegation.—The Ministry of Finance may delegate these powers to administrative Ministries.

12. *Re-appropriation*

Introductory.—Delegation of Financial Powers Rules, 1958, in Rule 8(6)(b) provide that Re-appropriation, without prior consultation with the Ministry of Finance, could not be made, so as to augment the provision under the Primary Units 'Pay of Officers' and 'Pay of Establishment' taken together for the entire grant or appropriation.

In 1962 that provision was modified and full powers were delegated to the administrative Ministries/Departments to re-appropriate funds among the Primary Units, 'Pay of Officers', 'Pay of Establishment', 'Allowances and Honoraria' and 'Other Charges'. These powers were, however, temporarily withdrawn (not by issue of specific order, by the Ministry of Finance but by decision conveyed on files) after the general ban on creation of posts.

Existing position.—The administrative Ministries do not have powers to re-appropriate funds to the Primary Units 'Pay of Officers' and 'Pay of Establishment', if by reappropriation the original grant as a whole under these two units is increased.

Proposed powers.—The powers to re-appropriate funds to any of the Primary Units 'Pay of Officers' and 'Pay of Establishment', without any restriction, should be restored.

Justification.—It is proposed to restore at least partially the powers of the administrative Ministries/Departments to create posts not covered by the ban. It would be administratively advantageous to revive the spirit underlying the enhanced financial powers delegated by the Ministry of Finance in June, 1962.

13. *Creation Of Posts*

Introductory.—The administrative Ministries/Departments were delegated full powers to create permanent and temporary posts carrying pay up to and inclusive of Rs. 2250/- per month in the prescribed and revised scales of pay and Rs. 3000/- in the pre-1931 scales, vide Ministry of Finance O.M. No. 10(4)-E(Coord)/62, dated 1st June, 1962. These powers could not be exercised on account of the general ban on creation of posts other than those required for Plan and Security activities, which continues (cf Ministry of Home Affairs latest O.M. No. 7/232/64-E.O.II, dated the 13th August, 1964).

Existing position.—Administrative Ministries/Departments do not enjoy powers to create posts for non-plan and non-security requirements.

Proposed powers.—The administrative Ministries/Departments will have—(a) Full powers when posts are to be created in accordance with the standards of norms laid down after studies made by the SIU and accepted by the Ministry of Finance.

(b) Full powers for creation of posts, where justification is furnished by studies made by the O and M or Workstudy unit of the Ministry; provided that such studies are not started earlier than the expiry of a period of 2 years after final decision on the conclusions of staffing studies made by the SIU of the same activities for which new posts are sought to be created.

Procedure.—In regard to (a) and (b) of the preceding para the administrative Ministry while exercising the powers delegated to them shall send copies of all sanctions issued by them to the Associate Financial Adviser.

Method of delegation.—The Ministry of Home Affairs may appropriately amend the order in question in consultation with the Ministry of Finance.

14. Re-delegation Of Powers To Heads Of Departments/Offices

Introductory.—Rule 10(2) and 10(3) of the Delegation of Financial Powers Rules, 1958, as modified by the provisions of the O.M. No. 10(4)-E(Coord)/62 dated 1.6.62, provided that, administrative Ministries/Departments may, at their discretion, redelegate powers to Heads of Departments and Heads of Offices under them, up to the same limit as vested in them under these Rules.

Existing position.—While administrative Ministries/Departments enjoy full powers of re-delegation under the Delegation of Financial Power Rules, 1958, they do not have similar powers with regard to FR and SR and other Rules unless specifically permitted or accepted by the Ministry of Finance.

Proposed powers.—Administrative Ministries should have the right to redelegate powers relating to FR and SR and other rules upto the limits enjoyed by them.

Justification.—There seems to be no special reason why administrative Ministries/Departments should not be allowed to

redelegate at their discretion powers to Heads of Departments/ Offices under FR and SR and other Rules upto the limits enjoyed by the Ministries/Departments themselves, particularly having regard to the objectives and spirit underlying the powers delegated by the Ministry of Finance to administrative Ministries to redelegate powers in respect of all items covered by the Delegation of Financial Powers Rules, 1958.



APPENDIX IX-A

(Para 4.18)

DEVELOPMENTS LEADING TO THE PRESENT PROCEDURE FOR APPROVAL OF BUILDING PROJECTS

Public Works of the Civil Departments of the Government of India are broadly divided into two categories, viz.:

- (i) Civil Works chargeable to Heads "50—Public Works", "103—Capital Outlay of Works", "104—Delhi Capital Outlay" and
- (ii) Works chargeable to other budget heads such as those: relating to the Posts & Telegraphs, Broadcasting, Forests, Light Houses, Mints, Archaeological Department, Civil Aerodromes etc.

2. In terms of para 131 of GFR no work can ordinarily be commenced or liability incurred in connection with it until:—

- (i) administrative approval has been obtained from the appropriate authority;
- (ii) sanction to incur expenditure has been obtained from the competent authority;
- (iii) a properly detailed design and estimate has been sanctioned; and
- (iv) funds to cover the charge during the year have been provided by competent authority.

3. According to para 68 of the CPWD Code, the authorities specified in appendix IV thereof are empowered to accord administrative approval to a work up to the extent of the amounts specified in that appendix. The Ministries of the Government of India are competent under para 69 of the Code to accord administrative approval for works in excess of the amount specified in the said appendix IV. These provisions did not envisage consultation with the Ministry of Finance at the stage of administrative approval and as such the administrative approval based on the preliminary estimate prepared by the CPWD was being followed by an expenditure sanction issued by the administrative Ministry concerned with the concurrence of their associated Finance. A copy of the expenditure sanction

was endorsed to the additional chief engineer concerned for execution of the work. The CPWD prepared detailed drawings and estimates and technical sanction was then accorded by the competent engineering authority.

4. The planning and execution of Civil Works under Budget Heads "50—Public Works", "103—Capital Outlay of Works" and "104—Delhi Capital Outlay" was centralised in the Ministry of Works & Housing in accordance with the procedure laid down in that Ministry's Memorandum No. BII-10/17/57, dated 30th November, 1957. Briefly, the procedure evolved therein was that the administrative Ministry intimated their requirements to the CPWD and obtained from them preliminary plans and estimates in triplicate. The administrative Ministry examined the proposal and if the necessity for the work at the rough ceiling cost indicated in the estimate was accepted, they would accord administrative approval to the work with the concurrence of their associated Finance. One set of the preliminary plans and estimates was to be returned to the CPWD with a copy of the administrative approval. A copy of the administrative approval with another set of plans and estimates was to be forwarded to the Ministry of Works & Housing. On receipt of the preliminary plans and estimates with a copy of the administrative approval, the Ministry of Works & Housing was to examine the proposal in consultation with the Works Division of the Ministry of Finance from the point of view of austerity standards, market rates etc. and to issue expenditure sanction.

5. Powers of the Ministry of Works & Housing to sanction expenditure on Public Works under the Budget Heads controlled by it were specified in rule 11 of the Delegation of Financial Powers Rules, 1958. This rule envisaged that a scheme should first be accepted by the Ministry of Finance and thereafter the Ministry of Works & Housing was competent to sanction expenditure on the scheme if the total outlay did not exceed Rs. 50 lakhs. No expenditure even within this limit could be sanctioned without the consent of the Ministry of Finance if it had the effect of substantially altering the scope of the scheme as accepted by that Ministry.

6. In accordance with the Ministry of Works & Housing letter No. Cont.15(19)/59, dated the 27th June, 1960, the chief engineer/additional chief engineers were given power to accord expenditure sanction for works administratively approved up to the limit of Rs. 2 lakhs. This power was enhanced to

Rs. 25 lakhs in accordance with the Ministry of Works & Housing letter No. 13/11/62-Cont., dated the 26th September, 1962 subject to the condition that in the case of projects costing more than Rs. 2 lakhs, pre-budget financial scrutiny should have been done by the Ministry of Finance. It may be observed that since the administrative approval had to be accorded with the concurrence of the Ministry of Finance the schemes administratively approved had already undergone the pre-budget scrutiny. Therefore, in effect, the enhanced delegation of power to the chief engineer/additional chief engineers meant that they were competent to accord expenditure sanction for all works costing up to Rs. 25 lakhs without the concurrence of the Ministry of Works & Housing or the Ministry of Finance. For works costing over Rs. 25 lakhs the preliminary estimates were required to be scrutinised in the Ministry of Works & Housing and expenditure sanction was to be issued by that Ministry with the concurrence of the Works Division of the Ministry of Finance. Sanction for works costing over Rs. 50 lakhs was to be accorded by the Expenditure Finance Committee.

7. In view of the need felt to effect a sizeable reduction in expenditure it was decided by the Ministry of Finance (Department of Expenditure) *vide* their Office Memorandum No. 2457-AS/64, dated 30th September, 1964 that with effect from the 1st October, 1964 all proposals for new construction and for release of funds therefor should, in partial modification of relevant Delegation of Financial Powers Rules, 1958 be sanctioned only in consultation with the Ministry of Finance even though covered by existing budget allotments. This in effect meant the withdrawal of all powers to accord expenditure sanction delegated to the administrative Ministries and the CPWD.

8. The procedure regarding reference of cases to the Expenditure Finance Committee was also revised by the Ministry of Finance, Department of Expenditure, in their Office Memorandum No. 3(1)-E(Coord)/65, dated 3rd February, 1965 which enjoined that all proposals involving expenditure on new services and all proposals for expansion of existing services and involving an expenditure of over Rs. 10 lakhs (non-recurring) and/or over Rs. 2½ lakhs per annum (recurring) should be referred to the Committee. This nullified the power conferred on the Ministry of Works & Housing to sanction schemes costing up to Rs. 50 lakhs under rule 11 of the Delegation of Financial Powers Rules, 1958 and also the power of the chief engineer/

additional chief engineer to accord expenditure sanction up to Rs. 25 lakhs under the Ministry of Works & Housing letter dated the 26th September, 1962.

9. In accordance with the Ministry of Works & Housing Memorandum No. BII-10/17/57, dated 30th November, 1957 the administrative Ministries/Departments furnish to the Ministry of Works & Housing by the 1st November of each year a statement of works which have received administrative approval. The works are to be arranged in the order of priority. The overall requirement of the works expenditure is to be communicated by the Ministry of Works & Housing to the Planning Division of the Ministry of Finance through the Works Division of that Ministry by the 10th November each year. After taking into account the availability of resources the Planning Division of the Ministry of Finance has to communicate to the Ministry of Works & Housing by the end of November the funds likely to be available for allocation. Immediately thereafter the distribution of the provision amongst the individual works sponsored by the various Ministries is made after the Works Priority Board of the Ministry of Works & Housing have decided the *inter-se* priority of works.

10. From the foregoing paragraphs it will be observed that the procedure for according administrative approval and expenditure sanction has varied from time to time and is at present quite circuitous and time consuming. In case of Budget Heads other than "50—Public Works", "103—Capital Outlay on Works" and "104—Delhi Capital Outlay" the Ministry of Works & Housing and the Works Division of the Ministry of Finance do not come into the picture at all. Before the issue of the Ministry of Finance Office Memorandum No. 3(1)-E (Coord)/65, dated 3rd February, 1965 in respect of the Works relating to these budget heads the Ministry of Works & Housing and Works Division of the Ministry of Finance also did not come into the picture up to the value of Rs. 25 lakhs. For works costing over Rs. 25 lakhs there was repetitive examination in the Ministry of Finance firstly at the stage of administrative approval and thereafter at the stage of expenditure sanction. The intervention of the Ministry of Works & Housing at the stage of expenditure sanction for works costing over Rs. 25 lakhs also appears to be somewhat superfluous because any scrutiny from the point of view of austerity standards, market rates etc. could as well be exercised by the Works Division of the Ministry of Finance.

APPENDIX IX-B

(Para 4.18)

STEPS IN THE PROCEDURE RECOMMENDED FOR APPROVAL OF BUILDING PROJECTS SPONSORED BY MINISTRIES/DEPARTMENTS OF GOVERNMENT OF INDIA OTHER THAN THE MINISTRY OF WORKS & HOUSING.

1. Ministry/Department takes a decision to construct buildings required in connection with some of its activities, and indicating the broad scope and requirements of the proposed construction requests the CPWD for assistance in framing the scope and requirements of the project from the point of view of its intended functional use and engineering considerations.
2. The architects and engineer officers of the zone concerned in the CPWD assist in framing the scope and requirements of the project and submit preliminary plans and estimates to the Ministry/Department.
3. The preliminary plans and estimates are broadly examined by the Ministry from the point of view of their objective requirements and then forwarded to its associated Finance.
4. Where the estimates do not exceed Rs. 5 lakhs, the associated Finance scrutinise the preliminary plans and estimates from a financial angle. If the estimates exceed Rs. 5 lakhs, the associated Finance will do so in consultation with Works Division of the Ministry of Finance. Where the estimates exceed the prescribed limit for Expenditure Finance Committee, the preliminary plans and estimates will be put up to the Committee for concurrence according to the procedure prescribed.
5. The object and scope of scrutiny in '4' above will be to examine whether the scope and requirements of the construction and specifications of internal and external facilities to be provided at the estimated cost are reasonable in relation to the functional use of the proposed building project taking into account standards available if any, data relating to comparable buildings. and, where this is not possible, past sanctions for constructions which could with adjustments bear reasonable comparison with the whole or parts of the project. Secondly to see whether the

estimates have been worked out according to rates which could be considered reasonable and economical in the light of standard schedule rates or approved percentages over such rates or having regard to the previous estimates sanctioned for works similar to or otherwise comparable in whole or in part with the project.

6. After approval of preliminary plans and estimates, formal approval of the scheme will be issued by the Ministry/Department.

7. Such schemes will be forwarded to the Ministry of Works & Housing who will consolidate the schemes so received for onward transmission to Finance who will then indicate to the Ministry of Works & Housing the total funds available for 'Works' budget for the next financial year.

8. Based on the indication of funds likely to be available for the 'Works' budget of the Ministry of Works & Housing, the Works Priority Board will decide the *inter se* priority of works for inclusion in the budget estimates of the Ministry of Works & Housing.

9. After voting of the budget demands for grant, the Ministry of Works & Housing will communicate the allocation of funds to the ACE concerned and forward a copy thereof to the administrative Ministry.

10. The ACE concerned will cause to be prepared detailed plans and estimates and after technical sanction, cause tenders to be invited. (In cases of urgency, these may be prepared before allocation of funds provided that the scheme is included in the list settled by the Works Priority Board and is included in the budget estimates.)

APPENDIX X

(Para 4.21)

FORM ON WHICH PROPOSALS FOR ADDITIONS OR ALTERATIONS MAY BE MADE BY THE CPWD

1. Particulars of the residence.
2. Name and status of the occupant.
3. Details of the additions/alterations requested for.
4. Details of expenditure incurred on the building in the preceding two years.
5. The scale prescribed, if any, in respect of fixtures/additions/alterations requested for.
6. Is the request made within the prescribed scale?
7. Has the request been approved by the Housing Committee of the Parliament? (in case of requests from M.Ps.).
8. Have similar additions/alterations been made in the past:
 - (a) in the residence of the type occupied by the applicant or
 - (b) in other types?

with reasons therefor.

9. What is the total No. of units in the type occupied by the applicant?
10. Will the proposed additions and alterations have repercussions elsewhere? If so, to what extent?
11. What is the living area to which the applicant is entitled?
12. What is the existing living area of the accommodation occupied by the applicant?
13. What will be the likely increase in the area on account of the proposed additions or alterations?

14. What will be the increase in rent as a result of the additions and alterations proposed to be carried out? And, whether the applicant has agreed to pay such additional rent?

15. (In the case of Defence Officers only)

Whether the Ministry of Defence (CAD) has agreed to bear additional rent liability?

16. Estimated amount of expenditure involved.

17. Whether recommended.

(For use in the Ministry of Works & Housing)

18. Order of the competent authority (together with reasons if any departure is made from the prescribed scales).

(To be filled in after completion of work by the CPWD)

19. Date of completion.

20. Actual cost.

Signature.

APPENDIX XI(a)

(Para 4.25)

ITEMS IN LIST III FOR 'ESTABLISHMENT WORKS'

1. Associations and Unions—Representations from.
2. Audit Paras.
3. CPWD Code—amendment, relaxation, interpretation, revision, etc.
4. Complaints.
5. Delegation of Powers.
6. Deputation of ACEs. outside the Department.
7. Disciplinary cases against Class I officers.
8. Foreign Service—transfer of officers.
9. Litigation cases including notice under Sec. 80 of Civil Procedure Code.
10. Matters relating to recruitment, appointment, promotion, reversion, confirmation and retirement of Class I officers.
11. Movable and Immovable property—acquisition, disposal—Government permission, sanction—concerning Class I officers.
12. Parliamentary matters.
13. Personal files of Class I officers.
14. Recruitment rules for Class I posts.
15. Re-employment of Class I officers including permission for employment outside Government after retirement.
16. Reorganisation of the CPWD—policy matters.
17. Reports and Returns—control statistics.
18. Representations, appeals, memorials and reviews.
19. Union Territories—matters relating to PWD in.

NOTE.—Additions to this List should be made only with the approval of the Joint Secretary.

APPENDIX XI(b)

(Para 4.25)

ITEMS IN LIST III FOR 'WORKS'

1. Additions or alterations in residences costing over Rs. 1,000 and in office buildings.
2. Audit paras.
3. Black listing of contractors.
4. Budget.
5. Complaints.
6. Committees, conferences and meetings.
7. Construction of buildings—policy.
8. Decoration of buildings.
9. Five-Year Plans.
10. Parliamentary matters.
11. Policy regarding arbitration and departmental charges.
12. President's estate and Prime Minister's residence.
13. Rajghat Samadhi and Shanti Vana.
14. Reports and returns.
15. Miscellaneous.

NOTE.—Additions to this List should be made only with the approval of the Joint Secretary.

APPENDIX XII

(Para 4.27)

DRILL FOR HANDLING CASES COVERED BY SINGLE FILE SYSTEM

I For upward movement of papers.

(1) The fact that a particular case is a List II case should be clearly brought out in the CPWD office noting.

(2) The officer finally dealing with the case in the CPWD should mark it to the Ministry, or in cases requiring personal attention to the appropriate officer of the Ministry by his designation or name. The system should be on the same lines as that obtaining in the case of sending files from one Ministry to another. There should be no question of draft notes being prepared by the CPWD office for approval and signature by an officer.

(3) As in the case of inter-Ministry file movements, the file should get a despatch number in the CPWD office to enable tracking down in case of delayed return.

(4) The point of departure of a file from the CPWD should normally be the CE or ACE, since a case fit for receiving the Ministry's attention should normally also be a case needing CE/ACE level consideration. But when a case has to be referred to the Ministry at stages short of the main decision making stage (e.g. for interim information), the point of departure could be the level next below CE/ACE. In no case should it be lower than that.

(5) The point of receipt in the Ministry should in all cases be the Registry. Where there are previous papers in the Registry, the relevant folder should be added to the file. With such addition or without, as the case may be, but in any case without any noting, the papers should be sent by the Registry to the dealing officer or the officer named in the CPWD marking.

(6) The receipt of the file should be recorded in the Registry in a specially devised register, which should also show the despatch of the file on its return journey against the receipt entry. This would facilitate quick check on pending files.

(7) Unless the CPWD marking mentions an officer by designation or name, the first consideration in the shape of a note in the Ministry should be at the level of the junior most officer in the hierarchy. Further noting should be governed by standing orders in regard to levels of disposals within the Ministry.

(8) In important cases, copies of noting may be retained in the Registry. This should be done roughly on the same principles as operate in the case of the Finance Ministry retaining copies of noting from files of administrative Ministries. Such copies would be the only previous papers [reference sub-para (5) above] in the Registry about List II cases.

II. *For downward movement of papers.*

(1) Files emanating from the CPWD office will, after disposal, return *via* the Ministry's Registry as described above.

(2) Papers emanating from the Ministry, or received from ex-Ministry organisations, should be passed on in original to the CPWD, copies being retained only of important references to facilitate follow up if necessary.

III. *Miscellaneous points.*

(1) Consequential action on the basis of Ministry's orders on a file should be initiated in the CPWD. In simple cases, drafts may be approved and signed by appropriate officers of the CPWD itself. In other cases, particularly cases requiring authentication on behalf of Government, drafts may issue over signatures of the secretariat officers.

(2) Since the CPWD office will have to function as the secretariat office for all practical purposes in regard to List II cases, examination of cases there should be of secretariat standard. Normally, there should not be more than two notes before arrival of the case in the Ministry.

(3) Reminders on cases pending in the Ministry or passed on to the Finance Ministry should be received in the Registry and should be acted on *without noting* by locating the file wherever it is and putting the reminder on it in a prominent way.

APPENDIX XIII(a)

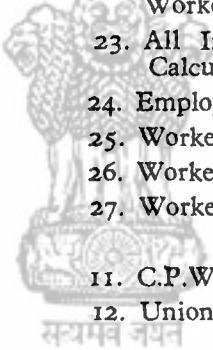
(Para 4.31)

FILE INDEX FOR FILES UNDER LIST III CASES OF THE WORKS DIVISION—'ESTABLISHMENT WORKS'.

<i>Main Heads</i>	<i>Sub-Heads</i>
11. <i>Appeals, Memorials, Re-presentations, Reviews, etc.</i>	11. Class I Officers. 11-A. Engineering Officers 11-B Architects. 11-C Horticulture. 11-D Administrative Officers. 12. Class II Officers. 12-A. Engineering Officers. 12-B. Architects. 12-C. Horticulture.
12. <i>Appointments and Promotions.</i>	11. Class I Officers. 11-A. Engineering Officers 11-B. Architects. 11-C. Horticulture. 11-D. Administrative Officers. 12. Employment of Foreigners. 13. Promotions. 13-A. Engineering Officers. 13-B. Architects. 13-C. Horticulture. 13-D. Administrative Officers. 14. Reappointment of Army Reservists.
13. <i>Associations and Unions</i>	11. Architects Association. 12. Architectural Draftsmen Association. 13. Class IV Staff Union (Eastern Zone) Association. 14. Engineering Drawing Staff Association.

Main Heads

Sub-Heads

- 
15. Graduate Section Officers' Association.
16. Non-Gazetted Officers Staff Association.
17. Section Officers (Horticulture) Association.
18. Section Officers (A.M.I.E.) Association.
19. Section Officers' Association.
20. Staff Association.
21. All India (Elect., Mech., Civil) Labour Union, New Delhi.
22. All India National Union of Workers, New Delhi.
23. All India Workers' Union Calcutta.
24. Employees Union, New Delhi.
25. Workers' Union, Calcutta.
26. Workers' Union, New Delhi.
27. Workers' Union, Simla.
14. *Audit Paras*
11. C.P.W.D.
12. Union Territories.
15. *C.P.W.D. Code*
11. Amendments.
12. Clarifications.
13. Relaxation of rules.
16. *Complaints*
11. Re: Corruption.
12. Re: Delays in sanction of advances, increments etc.
13. Re: Indiscipline.
14. Re: Settlement of claims of arrears.
17. *Confirmation*
11. Procedure.

Main Heads

Sub-Heads

- | | |
|---|--|
| 18. <i>Delegation of Powers</i> | 11. Re : F.R. & S.R.
12. Re: G.F.R. and Delegation of Financial Powers Rules. |
| 19. <i>Deputations</i> | 11. Deputation of Addl. Chief Engineers. |
| 20. <i>Disciplinary Cases</i> | 11. A to G (Surnames of officer ^s beginning with—)
12. H to N Do.
13. O to Z Do. |
| 21. <i>Foreign Service</i> | 11. A to G (Surnames of officers beginning with—)
12. H to N Do.
13. O to Z Do. |
| 22. <i>Litigation Cases</i> | 11. A to G (representing names of litigants)
12. H to N Do.
13. O to Z Do. |
| 23. <i>Movable and Immovable Property</i> | 11. A to G (Surnames of officers beginning with—)
12. H to N Do.
13. O to Z Do. |
| 24. <i>Parliamentary Matters</i> | 11. Assurances and undertakings.
12. Committees of Parliament—work relating to.
13. Cut motions.
14. Legislation.
15. Questions.
16. Resolutions.
17. Miscellaneous. |
| 25. <i>Personal files of Class I officers</i> | 11. A to G (Surnames of officers beginning with—)
12. H to N Do.
13. O to Z Do. |

Main-Heads

Sub-Heads

- | | |
|---|---|
| 26. <i>Recruitment Rules</i> | 11. Clarifications |
| | 12. Framing of and amendments to |
| | 13. Relaxation of |
| 27. <i>Re-employment or Extension of Class I officers</i> | 11. A to G (Surnames of officers beginning with—) |
| | 12. H to N Do. |
| | 13. O to Z Do. |
| 28. <i>Reorganisation in C.P.W.D.</i> | 11. Proposals regarding |
| 29. <i>Reports & Returns</i> | 11. Weekly |
| | 12. Fortnightly |
| | 13. Monthly |
| | 14. Quarterly |
| | 15. Half-Yearly |
| | 16. Annual |
| 30. <i>Representations</i> | 11. A to G (Surnames of officers beginning with—) |
| | 12. H. to N Do. |
| | 13. O to Z Do. |
| 31. <i>Retirement of Class I officers</i> | 11. A to G (Surnames of officers beginning with—) |
| | 12. H to N. Do. |
| | 13. O to Z Do. |
| 32. <i>Union Territories</i> | |

APPENDIX XIII(b)

(Para 4.31)

FILE INDEX FOR FILES UNDER LIST III CASES OF THE 'WORKS DIVISION'—'WORKS'

<i>Main Heads</i>	<i>Sub-Heads</i>
11. <i>Additions Or Alterations.</i>	11. (in the residences of the Judges of Supreme Court. 12. (in the residences of the Ministers. 13. (in the residences of the M. Ps. 14. (in the residences of) Others. 15. Govt. Office Buildings.
12. <i>Audit Paras.</i>	11. CPWD 12. Union Territories.
13. <i>Black Listing Of Contractors.</i>	11. Code-standard. 12. Building contractors. 13. Orders issued by State Governments. 14. Orders issued by the Department of Supply. 15. Orders issued by other Ministries.
14. <i>Budget.</i>	11. 50-Public Works. 12. 103-Capital Outlay of Works. 13. 104-Delhi Capital Outlay.
15. <i>Committees, Conferences & Meetings.</i>	11. Committees. 12. Conferences. 13. Meetings.
16. <i>Complaints.</i>	11. Re: Contractors. 12. Re: Works.

Main Heads

Sub-Heads

17. Construction of Buildings-Policy

11. Community Halls in Government colonies.
12. CGHS Dispensaries.
13. Enquiry Offices.
14. Government hostels.
15. Multi-storeyed Office Buildings.
16. Residential quarters of various types.
17. Shopping centres.
18. Stores godowns.
19. Schools in Government colonies.
20. Scales of residential accommodation.

18. Decoration of Buildings.

11. Decoration Advisory Committee-Constitution of.
12. Deliberations & Decisions of Decoration Advisory Committee.

19. Five-Year Plans.

20. Parliamentary Matters.

11. Assurances and undertakings.
12. Committees of Parliament-work relating to.
13. Cut motions.
14. Questions.
15. Resolutions.
16. Miscellaneous.

21. Policy regarding Arbitration.

22. Policy regarding Departmental Charges.

11. Leviable by CPWD.

23. President's Estate.

11. Additions/alterations in the President's House.
12. Construction.
13. Maintenance of the President's Estate.

24. *Prime Minister's Residence.*
11. Additions/alterations in the Prime Minister's House.
 12. Construction.
 13. Maintenance of the Prime Minister's Estate.
25. *Rajghat Samadhi.*
11. Administration of Rajghat Act 1951.
 12. Constitution of Rajghat Samadhi Committee—Election and nomination of members.
 13. Construction.
 14. Deliberations and decisions of the Rajghat Samadhi Committee.
26. *Reports & Returns.*
11. Weekly.
 12. Fortnightly.
 13. Monthly.
 14. Quarterly.
 15. Six-monthly.
 16. Annual.
27. *Shanti Vana.*
11. Constitution of Shanti Vana Committee—Election and nomination of members of.
 12. Construction.
 13. Deliberations and decisions of Shanti Vana Committee.
 14. Maintenance of Shanti Vana
28. *Miscellaneous*
11. Statue.
 - 11-A Committee.
 12. Special Works.
 - 12-A. East West High Way Nepal.
 - 12-B. Emergent Works of Min. of Defence.

APPENDIX XIV

(Para 4.32)

SYSTEM OF FILING AND STORAGE OF RECORDS

Existing Filing System.—The existing filing system of the Ministries and their 'included', attached offices is in accordance with the provisions of paragraphs 85, 86, 88 and 96—104 of the Manual of Office Procedure. Briefly, it is as follows:—

- (1) Each section maintains an approved list of main subjects (known as 'standard heads' bearing consecutive serial numbers). The list is scrutinised and brought up-to-date at the beginning of every calendar year. As far as possible, standard heads are allotted the same numbers year after year.
- (2) Whenever a new file is to be opened, the dealing hand first ascertains the 'standard head' under which it should be opened. He will then prepare a serial number under the 'standard head' after consulting the File Register.
- (3) The number given to the file consists of—
 - (i) the number allotted to the 'standard head';
 - (ii) the serial number of the file in round brackets under the 'standard head';
 - (iii) the year in which it is opened; and
 - (iv) the initials or letters identifying the section in which it originates.

Illustration.—For instance, in the file number 3(7)/65-EWI, the first numeral "3" indicates the standard head; the second numeral in round brackets "(7)" indicates the seventh serial number under the 'standard head'; "65" indicates the year in which it is opened, and the group of letters and Roman I "EWI" represent the section called "Establishment, Works I" in which the file was opened.

- (4) Preparation of index slips—These slips show—
 - (a) Title of the file, and
 - (b) File number.

(5) The file title has 3 parts—

- (a) Head—The 'head' must be a word or words that will naturally occur to anyone who wants the paper. It must not be too wide.
- (b) Sub-head—The 'head' will be followed by 'sub-head' or 'sub-heads'. It should be more indicative of the precise subject of the file than the 'head'.
- (c) Content—After the 'head' and 'sub-head' will come the content. This must be as brief as possible while expressing clearly the exact subject of the file or the issue or question considered.

2. **Disadvantages.**—The main disadvantages of the existing filing system are:

- (1) There is no uniformity in that different sections have allotted different standard or identifying numbers to identical subjects or sub-subjects. For example, in the establishment sections the subject 'Deputation' may have standard heading number 3 in one Division, 6 in another, and 10 in the third. The sub-subject 'Deputation to Public undertakings' may have the serial number 10 in the first section, number 15 in another section, and number 20 in the third. The file numbers in the three sections relating to the same subject will bear No. 3(10)/65, 6(15)/65 and 10(20)/65.
- (2) In the absence of pre-settled description and identification of sub-heads, some time is invariably involved in writing the appropriate 'content' part of the title of the file. Besides, on this account, different dealing hands may write the title of the file relating to the same sub-head in a different way.
- (3) Although the number of known sub-heads under a 'standard head' may be quite large, they do not carry separate identifying marks. Three or four files opened during a year under the same sub-head will neither have the same serial number nor consecutive serial numbers. Thus the files under the same 'standard head' cannot be stored in an objective or

otherwise methodical sequence. Therefore, files can be easily traced only if the assistant or the section officer had occasion to deal with them; otherwise time-consuming search through the file registers becomes necessary.

- (4) Indexing by subject as well as by individual names is necessary.

3. Proposed Filing System.—In an officer-oriented pattern of organisation, the filing system has to be so arranged that when the dealing officer/staff member is not available, files both current and recorded could be picket out without difficulty by others. This is possible with standardised names of subjects and the sub-subjects through use of single or two-three words carrying a pre-determined, alphabetic or numeric identifying mark.

4. In the context of an officer-oriented type of organisation, a suitable filing system for adoption by the 'Works' division is as follows:—

- (1) All the broad subjects dealt with on the 'Establishment Works' and 'Works' sides are listed in alphabetical order; these will be assigned numerals from 11 to 32 and 11 to 28 which could be extended to 99 if considered necessary. A numeric code showing the identifying numbers assigned to the different subjects dealt with, arranged in alphabetical order, is at appendix XIII(a) and XIII(b).
- (2) Under each subject have been listed its sub-subjects in alphabetical order and each sub-subject has been assigned identifying numerals commencing from 11.
- (3) The identifying subject numerals and sub-subject numerals will be separated by 0 from the point of view of convenience in that this distinguishing mark will indicate that the group of numerals to its left denote the main subject and the one to its right the sub-subject.
- (4) The first file opened under any sub-subject will contain the orders/Office Memoranda issued by Ministries/Depts./Offices on the particular subject. The

second file will be the standing guard file on the particular subject. All other files opened thereafter will bear the serial number 3, 4, 5 etc., in round brackets.

- (5) The year in which the file is opened will be shown at the end, separated by a small hyphen from the subject file number.
- (6) In the rectangle provided on the file cover entitled 'subject', it will not be necessary to write the full title of the file, but only the 'content' part, since the subject or sub-subject will appear in numerical code number under the file number itself.

Illustration—For instance, in the file number 12013A(3)/65—the first group of numerals *viz.*, 12 denotes the main subject 'Appointments and Promotions' and the second group of numerals *viz.*, 13A separated by 'O' denotes 'Appointment of Engineering Officers' the numeral in bracket *viz.* (3) denotes the 3rd file opened under the sub-subject and '65' denotes the year in which the file is opened.

5. The advantages of the proposed system are as follows:—

- (1) Uniformity is ensured. Standard file numbers can be used for the same subjects or sub-subjects.
- (2) Any officer referring to the file code (comprising appendix XIII (a) and XIII (b)) will be able to say what the file number of any particular subject could be.
- (3) There is saving of time in writing the subject file title, easy identification of filing sequence and in the sorting of file records.
- (4) Indexing may be necessary only namewise, but not both subjectwise and namewise.

6. **Standard Filing Guide.**—As already mentioned, the broad subjects and the sub-subjects dealt with in the Works Division have all been listed in appendix XIII(a) and (b). These two lists will be cyclostyled, constituting more or less the file code, and one copy each will be given to the dealing officer/staff member as a convenient reference guide.

7. **Opening of a file.**—The serial numbers under each sub-subject referred to in para 3(4) will have to be given in the file register by the stenotypist in consultation with the principal. In the file register, only the person or the issue involved need be written, since there will be no need to state the subject and the sub-subject which will be denoted by their pre-determined identifying groups of numbers according to the file-index.

8. **Movement of Files, etc.**—Receipt and despatch of files, letters, etc. will ordinarily be through the Central Registry.

Letters received from the CPWD, Ministries and other organisations will be entered in the diary of the Registry. Movement of files which are received from the CPWD on SFS will be watched through the diary and not through the File Movement Register.

The File Register will be maintained by the stenotypist for List III cases only, viz. files opened by the secretariat. When a file is closed as directed by the principal/assistant principal, the stenotypist will forward it to the Registry after making an entry to that effect in the File Register.

The File Movement Register may be maintained by the Registry. External movement of files from the Registry to the CPWD, Ministries and other organisations will be recorded in the File Movement Register. This register will also show inventory of closed or recorded files required to be maintained by the Registry.

Movement of files from the Registry to the assistant principal/principal and deputy secretary will be recorded either in the diary or in the File Movement Register, where necessary, but no entries will be made in the peon book as evidencing receipt of papers by the officers to whom they are submitted. Internal movement of papers from assistant principal/principal to deputy secretary may be recorded in a diary to be maintained by the stenotypist.

9. **Storage.**—The existing practice is to centralise storage of all recorded files of different sections of a Ministry which are 5—6 years old, in one place. Recorded files of lesser period and current files are kept by the individual section concerned, and their storage within the section is entrusted to the daftry attached to it.

10. One of the basic requirements of an officer-oriented pattern is that the dealing officer should not have to depend upon 'office' to give him current papers; the current files must, therefore, be maintained by the stenotypist attached to the dealing officers. On a rough estimate, a stenotypist will be in charge of not more than 75 files under List III at a time.

11. Closed files (whether recorded or unrecorded) not more than 3 years old from the date of closing will, however, be kept in the Registry of the division since frequent reference to these is possible. Files over 3 years old will, after recording, be retired to the central record room of the Ministry.

12. The subjects and sub-subjects having been standardised and given systematic, identifying numerals according to a file code, the stenotypist can without difficulty give a serial number to a new file after giving it appropriate file number with reference to file index as also arrange the files according to the pre-determined numeric sequence indicated by the file index.

13. Filing cabinets, filing almirahs with or without horizontal suspension, provide suitable equipment for storage of current files and closed files to which frequent reference could possibly be made.

14. In consonance with the duty of opening and maintaining new files cast on the stenotypist, the filing cabinets or almirahs will have to be located by the side of the stenotypist attached to the principal/assistant principal concerned.

15. If the volume so justifies, all 'shadow' files relating to List II cases viz., files of the CPWD received under single file system, containing extracts of notes and decisions, may be maintained in a separate filing cabinet which is particularly useful for files not containing more than 30 sheets. Files containing more than 30 sheets may be stored in open or closed filing almirahs preferably with horizontally suspended, adjustable, filing pockets carrying detachable tabs with windows displaying slips identifying the files stored therein.

16. Non-current files will be maintained and stored by the Registry ordinarily in open-shelf racks or almirahs; but those belonging to the classified category will be maintained in closed almirahs.

17. Whenever a closed or recorded file is required to be put up along with other papers, a requisition slip in form 'S43', duly completed by the stenotypist indicating the details of the file or paper with which it is proposed to be put up, will be forwarded by him to the assistant in charge of the Registry. This slip will be inserted in the space vacated by the removal of the closed or recorded file. If a closed or recorded file taken initially for a case is subsequently put up with another case, a revised requisition slip superscribed with the words "Change slip" and showing the number of the new files with which it is to be put up, will be placed in lieu of the requisition slip.

18. **Retention periods.**—Prescription of appropriate retention periods is an essential requisite of efficient records management. The principal will, therefore,—

- (a) establish a rigid schedule of retention periods for the different categories of records including copies of orders, if any, that have to be recorded; and
- (b) direct the stenotypist for prompt removal of all papers from files that are of no use, viz. routine notes or papers of an ephemeral value.

Unless the principal personally indicates the retention periods, the tendency on the part of the Registry may be to err on the side of over-caution resulting in long periods of retention being prescribed by him.

19. **Periodical review and weeding of records.**—It is necessary for the principal to devote some time every year to ensure that closed files are not retained by the stenotypist and that files more than 3 years old are recorded and retired to the central record room.

20. **Switch over to the revised filing system.**—For switching over to the revised filing system, the following preliminary steps will need to be taken:

- (i) Sorting out the current files and files opened and recorded in 1963, 1964 and 1965 and arranging them in the following three groups:
 - (a) *List I*—Items covered by delegations and those excluded from the Ministry's purview.

- (b) *List II*—Items to be handled in the Ministry on S.F.S.
- (c) *List III*—Items to be handled in the Ministry.
- (ii) Transfer to CPWD of List I and List II files—current and recorded files of the preceding 3 years.
- (iii) Renumbering current and recorded files of 1963, 1964 and 1965 in List III according to File Index in Appendix XIII(a) and XIII(b).
- (iv) Preparing File Register and File Movement Register showing the revised numbers of files in List III.
- (v) Transfer of closed and recorded files to and their storage in the Registry.
- (vi) Transfer of current files to the stenotypists concerned.
- (vii) Supply of file code to officers, stenotypists and other concerned staff in the Ministry.



APPENDIX XV

(Para 4.35)

REASONABLE ESTIMATE OF THE REMAINING VOLUME OF WORK IN 'ESTABLISHMENT WORKS' AND 'WORKS' AFTER PROPOSED DELEGATIONS HAVE BEEN MADE AND THE SINGLE FILE SYSTEM HAS BEEN INTRODUCED

A. *EW I and EW II*

In 1964, the No. of files opened in EW I and EW II was 1547. These could be distributed under Lists I, II and III as follows:—

List I	List II	List III
369(24%)	853(56%)	325(20%)

The work load of these cases under the proposed reorganisation would be:

	Load on the Section Assistants	Load on Officers, i.e. S.O., U.S. & D.S.
List III cases . . .	20%	20%
List II cases $\frac{3}{4}$ of 56%	42%
List I cases
TOTAL . . .	20%	62%

*56% would be the load according to double file system if these files were opened in the secretariat, but with the single file system, when the case would come already scrutinised at the officer levels of Dy. Dir. (=US), Dir. (=DS), and in many cases by CE(=JS), the work content of secretariat scrutiny at officer's level should be significantly less which may be placed at 75% of what would be otherwise when the case came up through the assistant of the secretariat.

For example; (i) a No. of cases would be marked to and directly disposed of at DS/JS level; (ii) mostly the case would not travel up to secretariat officer again for approval of draft—this is, however, based on the assumption that power to authenticate orders of Government will be given to officers of the

CPWD at appropriate level; (iii) there would be more frequent, direct, oral consultations between the secretariat officers at the level of DS/JS and senior officers of the CPWD at the level of DA/CE as a result of which there will be lesser No. of occasions for files to shuttle back and forth between the secretariat and the CPWD *via* parallel hierarchical levels of the 2 organisations.

B. W I and W II

In 1964, the No. of files opened in W I and W II was 1185. These could be distributed under Lists I, II and III as follows:—

List I	List II	List III	
76(14%)	335(29%)	674(57%)	34% related to additions & alterations and the remaining 23% to other work.

The workload of these cases under the proposed reorganisation would be:

	Load on the Section Assistants	Load on Officers, i.e., S.O., U.S. & D.S.
List III cases		
(i) Additions & alterations *1/3 of 34%	11.3%	11.3%
(ii) Other work	23%	23%
TOTAL	34.3%	34.3%
List II cases	.. (@3/4 × 29%)	22%
List I cases
Overall Total	34.3%	56.3%

*3 cases relating to additions and alterations are considered equivalent to 1 average type of other case in view of the simplification introduced in processing these repetitive types of cases according to a form which will completely routinise their consideration.

@Same consideration as in the case of EW I and EW II.

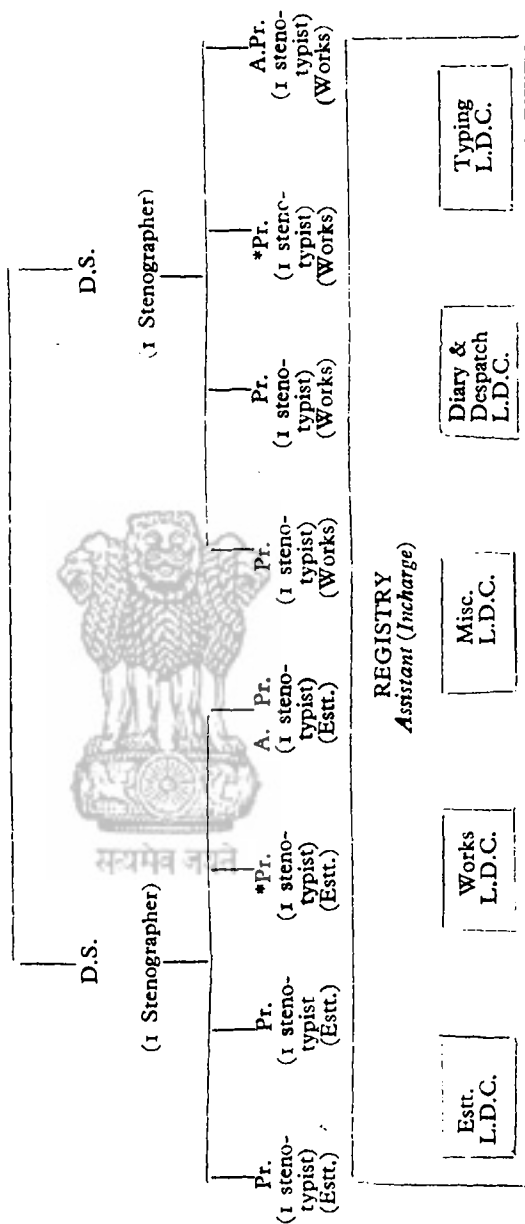
APPENDIX XVI

(Para 4'45)

ORGANISATION CHART SHOWING RECOMMENDED STAFFING PATTERN FOR 'WORKS DIVISION'

J.S.

(2 Stenographers)



*Additional post for a period of 1 year.



सत्यमेव जयते

GOVERNMENT OF INDIA

MINISTRY OF WORKS AND HOUSING

No. 3/13/65-WSU

New Delhi, the 22nd September, 1965.

OFFICE MEMORANDUM

SUBJECT: *Reorganisation of the Works Division.*

The Government of India in the Ministry of Works and Housing appointed on the 15th January, 1965, a Committee of Officers under the Chairmanship of Shri C. P. Gupta, then Joint Secretary in this Ministry, to undertake a study of the methods of handling work in the Ministry with a view to reorganising both procedures and organisation. The Committee submitted Part I of its report covering the Works Division of the Ministry on the 7th August, 1965.

2. The scheme of reorganisation of the Works Division presented in the report has been broadly accepted by the Government. The detailed recommendations of the Committee and the decisions of the Government thereon are set out below:

S. No.	Recommendation.	Decision of the Government.
--------	-----------------	-----------------------------

(1)

(2) मन्त्रालय जयते

(3)

Delegations.

- | | | |
|---|---|---|
| 1 | Administrative and financial powers should be delegated from the Ministry to the Central P. W. D. on the 45 matters listed in appendix VII of the report. | Accepted, subject to the modifications in annexure 1. |
|---|---|---|

(para 5·1)

(1)

(2)

(3)

- 2 Financial powers should be delegated from the Ministry of Finance to the Ministry of Works & Housing in the 14 matters listed in appendix VIII of the report. (para 5.2)

In two matters delegations already exist. The remaining items are under consideration (Details in annexure 2).

Procedural simplifications.

- 3 The two separate stages in sanctioning building schemes, viz., administrative approval and expenditure sanction, should be combined into one in which the administrative Ministry will accord approval in consultation with Finance without the intervention of the Ministry of Works & Housing. Internal arrangements in Finance should be made under which schemes costing Rs. 5 lakhs may be cleared by the associated Finance of the Ministry concerned. Schemes costing more than that only need go to Finance Works Division.

To be considered along with the recommendations of the Govinda Reddy Study Team.

(para 5.3)

- 4 To reduce the time taken in scrutinising preliminary estimates, a check list of information points should be drawn up based on the range of queries usually raised in the absence of details.

(para 5.4)

(1)	(2)	(3)
-----	-----	-----

- | | | |
|---|---|-----------|
| 5 | The standardised drill suggested in appendix X should govern scrutiny of proposals relating to additions and alterations in order to eliminate routine and repetitive noting. | Accepted. |
|---|---|-----------|

(para 5.5)

Single File System.

- | | | |
|---|--|-----------|
| 6 | (i) Duplicate files in the Ministry should be eliminated and so should the duplicate consideration at office level, as far as possible, by introducing the single file system. | Accepted. |
|---|--|-----------|

(para 5.6)

- (ii) The single file system should operate as follows :—

The existing items of work in the Works Division should be divided into three lists.

Accepted, subject to the following: —

- | | |
|--|---|
| List I should comprise items of work covered by the delegations accepted and thus no longer requiring consideration in the Ministry. | (1) List III should be further contracted by the substitution of the shorter list of items at annexure 3 for appendix XI (a). |
|--|---|

List II should comprise items of work which would continue to be handled in the Ministry, but on the files of the Central PWD coming up under the single file system. This should contain all items of work not falling in Lists I and III.

(1)

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(3)

List III should comprise items of work which would continue to be handled in the Ministry but on its own files. This should be kept down to the barest minimum as indicated in appendix XI (a) and XI (b).

(2) No additions to List III will be made except with the approval of the Secretary of the Ministry.

List II cases under the single file system should be handled according to the drill specified at appendix XII.

(para 5.6)

Filing system

- 7 In an officer oriented pattern, the filing system should be such that files both current and recorded can be picked out without difficulty even when the dealing officer or his personal staff may not be available. To this end, files in the Works Division should be maintained in accordance with the standard file index given at appendix XIII (a) and (b) and the filing and storage operations should follow the system explained at appendix XIV.

Accepted.

(para 5.7)

Structural reorganisation

- 8 (i) The Works Division should be reorganised according to an officer-oriented basis with

(1)

(2)

(3)

changes in the staffing pattern
as follows :—

Present Proposed

Deputy Secretary	2	2	Accepted with the following modifications:—
Under Secretary	2	..	
Section Officer	4	..	(a) Two of the posts of principals may be filled by officers of under secretary's status, and this may be done at the discretion of the secretary.
Principal	..	4+2	
		(short-term)	
Asstt. Principal	..	2	
Assistant	20	1	(b) For assisting 6 principals and 2 assistant principals, one stenographer and seven stenotypists should be provided instead of 8 stenotypists.
Stenographer	3	2	
Steno-typist	..	6+2	
		(short-term)	

U.D.C.

L.D.C.

9 4+1
(short-term)

TOTAL

44 21+5
(short-term)

The new organisation chart of the Works Division based on the recommended staffing pattern should be as given at appendix XVI.

The revised staffing pattern at the bottom level should be manned by new functionaries styled principal and asstt. principals.

While there may be two scales of pay in the bottom level, the flow of work should not be governed by the number of scales of pay but should go from one level of consideration as such to another.

(para 5·8)

(1)	(2)	(3)
(ii) The basic pay scales of principals and asstt. principals may be identical with those of section officers and assistants, but in recognition of their additional responsibilities they may draw special pay of Rs. 125/- and Rs. 75/- p.m. respectively. (para 5.9)	Basic pay scales accepted. The question of special pay is under consideration.	
(iii) Personnel to be posted as principals and asstt. principals should be hand-picked through a process in which merit and suitability play the major role. (para 5.9)	Accepted.	
9. The duties of stenotypist attached to principals and asstt. principals should, in addition to shorthand and typing, include: (a) opening of files with the help of file index and under the guidance of dealing officers; (b) maintenance of current files and internal movement diary and collection of relevant papers; (c) routine liaison work. (para 5.10)	Accepted. This will apply also to the stenographer to be attached to a principal.	
10 A "registry" with an assistant in charge should be set up to handle work relating to receipt and despatch, typing, preservation of non-current files, watching external movement of files outside the Ministry and maintenance of some necessary registers. (para 5.11)	Accepted, with the following modifications:— (i) The official in charge of the registry although selected from amongst assistants should be designated as supervisor.	

(1)	(2)	(3)
-----	-----	-----

- (ii) Two of the five posts of clerks in the registry should be in the grade of udc.

Implementation

- II To ensure that the change over from the present to the new system is as smooth as possible and not unnecessarily long drawn out, careful planning will be necessary. An implementation organisation on the following lines may be set up :—
- Accepted.

- (i) The responsibility for processing the report for acceptance or otherwise of its recommendations as well as for overseeing the implementation of the recommendations that are accepted should rest with the O & M unit of the Ministry headed by a whole-time under secretary who can not only work out all the details involved but will also be continuously available to help in solving difficulties in the course of implementation.
- (ii) It would be useful for the O & M unit to keep in close touch with the Department of Administrative Reforms during the stage of implementation.
- (iii) It would be useful if internal arrangements are made in the Ministry to ensure that the O & M unit works directly

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(3)

under the joint secretary who has functioned as chairman of the Committee of Officers which has produced this report.

- (iv) In case the processing of the recommendations is handled by an empowered committee presided over by the Secretary of the Ministry of Works & Housing, it would be useful if that committee were to continue functioning even after it has taken decisions on the recommendations as such so as to keep an eye on the prompt and correct implementation of what is accepted.

(para 5·12)

- 12 Some of the consequential tasks that should be attended to as a result of acceptance of the recommendations are listed in para 4·51 of the Report. Accepted.
(para 5·13)

3. Formal orders of the Government for delegation of powers where necessary will issue shortly.

PREM KRISHEN,
Secretary to the Government of India.

Annexure I to O.M. No. 3/13/65-WSU Dated the
22nd September, 1965

Delegation of administrative and financial powers to the chief
engineer by the Ministry of Works & Housing.

Sl. No.	Item No. in Ap- pendix VII.	Items for delegation.	Decisions.
(1)	(2)	(3)	(4)

Administrative Powers

1	1	Employment of (a) dependents of de- ceased employees of CPWD in relaxation of the recruitment rules and in consulta- tion with Directorate General of Employ- ment & Training; (b) persons as had ceased to be in service on grounds of their fail- ure to resume duty after expiry of maxi- mum period of extra- ordinary leave.	Accepted.
2	2	Quasi-permanency of staff for whom the di- rector of administra- tion, CPWD, is the ap- pointing authority.	Accepted.

(1)	(2)	(3)	(4)
3	3	Sanction of leave to officers of Grade I, Grade II and Grade III of the Central Secretariat Service where no substitute is required.	Accepted.
4	4	(1) Deputation of superintending engineers, executive engineers and architects and officers of the Horticulture Directorate of equivalent rank.	Accepted with deletion of "superintending engineers", and addition of the words "upto a period of 3 years".
		(2) Extension of the period of deputation upto two years of officers upto the rank of executive engineers or equivalent rank.	Accepted.
		(3) Deputation of superintending engineers, executive engineers and architects of equivalent rank for training outside India under recognised scheme.	Not accepted.*
		(4) Deputation of additional chief engineer, superintending engineers, executive engineers and architects of equivalent rank for training or refresher course in India.	Accepted.
5	5	Grant of leave to additional chief engineers (ACEs), superintending engineers (SEs), executive engineers (EEs), and architects when no substitute is required or empanelled	Accepted, subject to general instructions issued by government on officiating appointments.

(1)	(2)	(3)	(4)
		officer is available for being provided as substitute.	
6	6	Issue of certificate under F.R. 26(b)(ii) in respect of ACEs, SEs and EEs.	Accepted.
7	7	Issue of notifications regarding promotions/reversions, deaths, etc. regarding Class I officers.	Accepted.
8	8	Transfers and postings of SEs within the Department.	Accepted.
9	9	Permit chief engineer's office to provide secretariat assistance to the Departmental Promotion Committee.	Accepted.
10	10	Re-employment of retired Class II officers.	Not accepted.*
11	11	Condonation of break in service and relaxation of age limits for grant of quasi-permanency status in respect of non-gazetted staff.	Accepted.
12	12	Permission to attend seminars and conferences in India.	Accepted.
13	13	Nomination of ACEs, SEs, EEs and Architects for assisting Union Public Service Commission in selection.	Accepted.

(1)	(2)	(3)	(4)
14	14	Forwarding of applications from SEs and EEs for jobs outside the Department.	Accepted, subject to omission of the word 'full' in line 1 under the heading 'Proposed Powers'.
15	15	Forwarding of applications for allotment of motor vehicles from Government quota	Accepted, subject to further processing with the Ministry of Industry, if necessary.
16	16	Permission to SEs, EEs to take/hand over charge at places other than the headquarters.	Accepted.
17	17	Extension of the prescribed period of posting of officers at a particular station.	Accepted.
18	18	Scrutiny of Annual Account statements of Associations of Government servants.	Accepted.
19	19	To deal with audit objections and audit inspection reports direct.	Not accepted.*
20	20	Authority to approach the Ministry of Law for obtaining advice in arbitration and other similar cases.	Accepted, subject to the views of the Ministry of Law.
21	21	References to other Ministries/Departments relating to certain questions.	
		(1) Relaxation of rules relating to grant of General Provident	Accepted.

(1)	(2)	(3)	(4)
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Fund advances to officers upto the rank of ACE in consultation with Ministry of Finance (C.C.S.P.F. Rules).

(2)	Power to relax rules to condone lapses on the part of Government servants in not conforming to the terms of grant of motor car/scooter advances, e.g., not insuring the vehicles.	Accepted.
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(3)	Permission to retain advances for purchase of vehicles for more than 2 months (GFR 206).	Accepted.
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(4)	Power to approach the Chief Controller of Printing & Stationery direct for declaring subordinate offices of the CPWD as direct demanding offices for obtaining stationery from the Stationery Office.	Accepted.
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(5)	Power to make local purchase of stores not borne on the DG-S&D Rate/Running Contract.	Not accepted.*
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(6)	Power to make local purchase of stores borne on the DGS&D	Not accepted.*
-----	---	----------------

(1)	(2)	(3)	(4)
	Rate/Running Contract.		
	(7) Power to condone breaks in service for pension.		Accepted.
	(8) <i>Ad hoc</i> payment of arrear claims over 6 years old.		Accepted.
	(9) Payment of honorarium to CPWD Officers beyond the competence of the chief engineer/Ministry of Works & Housing.		Accepted.
	(10) Routine cases	Accepted. Routine cases are those which seek or provide factual information, etc.	

Financial Powers

- 22 1 Fixation of pay under F.R. 27. Powers delegated under Ministry of Finance Memorandum No. 6 (23) EIII/62 dated 22-6-1962 may be exercised by the chief engineer in respect of the posts which he is empowered to create.
- 23 2 Grant of advance increments under F.R. 27 Accepted with deletion of 'full' occurring in line 1 under the heading: 'Proposed Powers' and addition of 'on initial appointment' at the end of the sentence.

(1)	(2)	(3)	(4)
24	3	Issue of declaration under the second proviso to F.R. 30(1) (next below rule) and protection of officiating pay while an officer is holding a post outside the ordinary line of his service.	Accepted.
25	4	Grant of conveyance allowance to AEs, EEs, SEs and ACEs.	Accepted with addition of 'and corresponding technical staff' after the last line under the heading : 'Proposed Powers' and 'The Ministry should be kept informed of the sanctions issued by the chief engineer through half-yearly statements'.
26	5	Permission to non-entitled officers to travel by air.	Accepted.
27	6	Issue of sanction under S.R. 116(b) (ii) i.e. drawal of transfer T.A. in respect of the family who joins the officer at his new headquarters after 6 months.	Powers already delegated should be exercised.
28	7	Extension of the joining time admissible under the rules beyond maximum of 30 days.	Not accepted.*
29	8	Hiring of typewriters beyond 4 months.	Accepted.

(1)	(2)	(3)	(4)
30	9 Waiver of the condition of security deposit in case of officiating cashiers.	Accepted, subject to the condition that the chief engineer will personally exercise these powers.	
31	10 Hot and Cold weather charges.	Existing powers of the chief engineer on the subject under the Delegation of Financial Powers Rules 1958 are sufficient. No change is, therefore, necessary.	
32	11 Local purchase of stationery.	Accepted.	
33	12 Installation of residential telephones.	Accepted as follows:— The chief engineer may be delegated powers to sanction residential telephones for the executive engineers, superintending engineers, and additional chief engineers and other technical officers of corresponding ranks, as also powers to continue the residential telephones already sanctioned.	
34	13 Purchase of furniture.	Accepted as follows :— The powers of the chief engineer/additional chief engineer to be raised to Rs. 15,000/- per annum per office, including their own office.	

(1)	(2)	(3)	(4)
35	14 Creation and continuance of Cl. II gazetted posts	While sanctioning creation or continuance of a Circle or Division in the CPWD, the Ministry should also sanction the existing posts for the period for which a Circle or Division was created. No further delegation of powers to the chief engineer in this respect is called for.	
36	15 Authorise provisional pay upto 6 months to non-gazetted staff.	Accepted.	
37	16 Reappropriation of funds.		
38	17 Local purchase of and repairs to mathematical and survey instruments:—	Accepted.	
	(i) Instruments not manufactured by National Instruments Factory.		
	(ii) Urgent requirements which cannot be met by the National Instruments Factory within a period of 3 months.	Accepted as follows : superintending engineers should have the powers as recommended. Also, the chief engineer and	

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the additional chief engineer may be delegated powers to resort to local purchase upto Rs. 2000/- per item subject to a maximum of Rs. 50,000/- per annum.

- (iii) Enhancement of powers of CPWD for repairs to mathematical and surveying instruments locally.

Accepted as follows:—

Subject to the concurrence of the administrative Ministry concerned with the National Instruments Factory, Calcutta, superintending engineer may be delegated powers to spend upto Rs. 25/- per item and the chief engineer/ additional chief engineer upto Rs. 150/- per item for all normal works of repairs.



- 39 18 Sanction regarding re-fund of CGHS contributions.

Accepted with deletion of the word 'full' in line 1 under the heading : 'Proposed Powers'.

- 40 19 Recovery of Government dues from Government contribution in work-mens' contributory provident fund.

The Ministry may take up the matter with the Ministry of Finance separately.

- 41 20 Test check by the assistant engineer/executive engineers in respect of minor works.

The Ministry may process this matter separately.

(1)	(2)	(3)	(4)
42	21	Regularising non-deposit of earnest money for construction works.	Not accepted.*
43	22	Waiver or reduction of compensation levied by the superintending engineers on contractors for some default.	Should be handled according to the existing procedure, but under the single file system.
44	23	Relaxation of para 208 of CPW Account Code regarding measurement of works being recorded in the measurement books in case of petty works and repairs.	The existing rule for entering charges for maintenance, upkeep and repairs of motor vehicles in the measurement book should be followed and any case requiring sanction of the Ministry should be handled on the single file system.
45	24	Urgent and emergent work.	Should be handled according to the existing procedure, but under the single file system.

*Note—Questions relating to items of delegations for which recommendations have not been accepted, will be dealt with on the single file system.

Annexure 2 to O.M. No. 3/13/65-WSU
dated the 22nd September, 1965.

Delegation of financial powers to the Ministry of Works
and Housing by the Ministry of Finance.

Item No. in Appen- dix VIII (1)	Item for delegation (2)	Decision (3)
1	Payment of arrear claims without pre-audit, if the same has been certified by the <i>ad hoc</i> Committee.	Under consideration
2	Creation of posts of assistant engineer for those recruited through the Union Public Service Commission on the basis of Engineering Services Examinations, to cover their training period.	The chief engineer already has powers to create Class II posts (gazetted).
3	Deputation of officers for training abroad.	Under consideration
4	Condonation of break between two spells of re-employment so as to enable the officers to earn increments.	Under consideration
5	Relaxation of SR 12 regarding acceptance of fee.	Under consideration

(1)	(2)	(3)
6	Relaxation of SR 130 Grant of T.A. to officers for attending examina- tion.	Under consideration
7	Grant of special pay to steno-typists & cashiers	The Ministry of Finance have already delegated enhanced powers in res- pect of cashiers <i>vide</i> their letter No. 11(42)- EIII/60 dated the 17th June, 1965. As regards the grant of special pay to steno- typists, the question is under consideration.
8	Increase in the estimates on account of rise in the cost index.	Under consideration
9	Payment of insurance char- ges incurred on move- able property.	Under consideration
10	Purchase of vehicles by Ministries and Union Territories.	Under consideration
11	Grants-in-aid to Welfare associations in CPWD	Under consideration
12	Re-appropriation.	Under consideration
13	Creation of posts.	Under consideration
14	Re-delegation of powers to heads of Departments /Offices.	Under consideration

Annexure 3 to O.M. No. 3/13/65-WSU
dated the 22nd September, 1965.

Items in List III for Establishment Works.

1. Associations and Unions—Representations from.
2. Audit Paras.
3. CPWD Code—relaxation of.
4. Complaints.
5. Delegation of powers.
6. Deputation of additional chief engineers outside the Department.
7. Disciplinary cases against Class I officers.
8. Litigation cases including notice under Section 80 Procedure Code.
9. Matters relating to appointment, reversion, confirmation and retirement of chief engineer, Central Public Works Department.
10. Moveable and immoveable property—acquisition, disposal—Government permission, sanction—concerning chief engineer, Central Public Works Department.
11. Parliamentary matters.
12. Personal files of chief engineer, Central Public Works Department.
13. Recruitment rules for Class I posts.
14. Reorganisation of the Central Public Works Department—Policy matters.
15. Reports and Returns—control statistics.
16. Representations, appeals, memorials and reviews.
17. Union Territories—matters relating to Public Works Department in.